

Appendix A: Self-assessment form

This self-assessment form should be completed by the complaints officer and it must be reviewed and approved by the landlord's governing body at least annually.

Once approved, landlords must publish the self-assessment as part of the annual complaints performance and service improvement report on their website. The governing body's response to the report must be published alongside this.

Landlords are required to complete the self-assessment in full and support all statements with evidence, with additional commentary as necessary.

We recognise that there may be a small number of circumstances where landlords are unable to meet the requirements, for example, if they do not have a website. In these circumstances, we expect landlords to deliver the intentions of the Code in an alternative way, for example by publishing information in a public area so that it is easily accessible.

Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	A complaint must be defined as: <i>‘an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.’</i>	Yes	Stated in Complaints Policy	The definition set out in the Complaint Handling Code is quoted within our complaints policy and adopted as our own definition of a complaint.
1.3	A resident does not have to use the word ‘complaint’ for it to be treated as such. Whenever a resident expresses dissatisfaction landlords must give them the choice to make complaint. A complaint that is submitted via a third party or representative must be handled in line with the landlord’s complaints policy.	Yes	Stated in Complaints Policy	Discretion is used to determine whether expressions of dissatisfaction should be logged as a complaint without a direct request to do so. Policy sets out provisions for third party complaints to be logged.
1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be	Yes	Stated in Complaints Policy	This is explained in the Complaints Policy, which advises the first report of an issue will be treated as a Service Request which we will address under relevant process before considering the matter as a complaint .

	recorded, monitored and reviewed regularly.			We ensure that matters not previously reported to us are handled as service requests and that customers are advised that they have not been logged as a complaint, and why.
1.5	A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains.	Yes	Stated in Complaints Policy	This is set out within our policy. We also make sure there are no obstructions to further service requests when a complaint has been made.
1.6	An expression of dissatisfaction with services made through a survey is not defined as a complaint, though wherever possible, the person completing the survey should be made aware of how they can pursue a complaint if they wish to. Where landlords ask for wider feedback about their services, they also must provide details of how residents can complain.	Yes	Part of TSM process and other transactional surveys	Where identifying information is offered with survey responses, further actions are taken to address dissatisfaction and, if appropriate, logged as a complaint.

Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.1	Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint they must be able to evidence their reasoning. Each complaint must be considered on its own merits	Yes	Stated in Complaints Policy	Stated in Complaints Policy, refusals to log a complaint are communicated to customer with factual reasons provided to explain the reason for the refusal.
2.2	<p>A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> • The issue giving rise to the complaint occurred over twelve months ago. • Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. 	Yes	Stated in Complaints Policy	List of exceptions stated in Complaints Policy.

	<ul style="list-style-type: none"> Matters that have previously been considered under the complaints policy. 			
2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.	Yes	Stated in Complaints Policy	Timeframe set out in complaints policy is 12 months. Discretion is used to consider recording of complaints beyond this timeframe if there appears valid reason to do so.
2.4	If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman. If the Ombudsman does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.	Yes	Stated in Complaints Policy	As stated in policy, refusals to record a complaint are explained, with reasons, to customers. If instruction is received from the Ombudsman to log a complaint, then a complaint gets logged.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Stated in Complaints Policy	Discretion is used to make sure a complaint is logged when appropriate to do so.

Section 3: Accessibility and Awareness

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
3.1	Landlords must make it easy for residents to complain by providing different channels through which they can make a complaint. Landlords must consider their duties under the Equality Act 2010 and anticipate the needs and reasonable adjustments of residents who may need to access the complaints process.	Yes	Website, social media, and stated in Complaints Policy	Complaints can be made via: telephone, email, online form, social media (Facebook and X) or in person to a member of staff. Details available at: www.ncchousing.org.uk/complaints
3.2	Residents must be able to raise their complaints in any way and with any member of staff. All staff must be aware of the complaints process and be able to pass details of the complaint to the appropriate person within the landlord.	Yes	E-learning records and internal communications	The complaints process is explained to new starters who will handle complaints, while frontline staff are informed of where to direct any complaints received by the customer. Internal publication and sharing of newsletter articles and quarterly/annual reports also continue to highlight to staff the vital role complaints play in service improvements and ensure a strong complaint handling culture of ownership and action. Complaint Handling is also discussed and shared with colleagues through

				regular performance meetings and team meetings with their manager.
3.3	High volumes of complaints must not be seen as a negative, as they can be indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.	Yes	Quarterly/Annual reports	Complaints are treated as feedback and are used throughout the year as a means to improve services. Focus remains on quality, service, learning and improvements rather than reductions of volumes. Proactive media and communications both to customer and colleagues about importance of raising complaints are regular features.
3.4	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the two stage process, what will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord's website.	Yes	Website	Complaint Policy is published on our website at www.ncchousing.org.uk/complaints It can also be sent to customers upon request.
3.5	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.	Yes	Stated in Complaints Policy	Policy explains publication of complaints policy. Policy also directs customers to Housing Ombudsman services and Complaint Handling Code.
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or	Yes	Stated in Complaints Policy	Provision is made within the policy for complaints to be made, and managed, on behalf of residents by a third party, with steps in place

	accompanied at any meeting with the landlord.			to make sure compliance with GDPR.
3.7	Landlords must provide residents with information on their right to access the Ombudsman service and how the individual can engage with the Ombudsman about their complaint.	Yes	Stated in Complaints Policy and included on letter templates	<p>Ombudsman information is included by default on letters sent out at all stages of the complaint process. This information is also provided on our website and contact us sections in published reports</p> <p>Staff are also trained and encouraged to direct customers to the Housing Ombudsman Service at all appropriate stages, particularly when the customer is dissatisfied with a response we have provided, in order to ensure our customers are aware of their options and the available guidance.</p>

Section 4: Complaint Handling Staff

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
4.1	Landlords must have a person or team assigned to take responsibility for complaint handling, including liaison with the Ombudsman and ensuring complaints are reported to the governing body (or equivalent). This Code will refer to that person or team as the 'complaints officer'. This role may be in addition to other duties.	Yes	Customer Experience and Insight Manager and Customer Relations Team Leader have overall responsibility for complaint handling as 'Complaints Officer'	<p>The Customer Relations Team are a central point for the logging and administration of complaint handling. 'Resolution Officers' are allocated to each complaint to investigate and communicate with the customer. All overseen by CEIM and CRTL.</p> <p>Following the move back from ALMO to council control, the Customer Relations Team (who handle housing complaints) have remained separate from general council services to ensure appropriate focus and compliance with the Code and best practice.</p>
4.2	The complaints officer must have access to staff at all levels to facilitate the prompt resolution of complaints. They must also have the authority and	Yes	Part of Customer Experience and Insight Manager and Customer Relations Team Leader roles	Administating complaints within a central 'Customer Relations Team' make sures full

	autonomy to act to resolve disputes promptly and fairly.			compliance and representation of the customer in overall complaint handling. Investigating and responding to complaints using 'Resolution Officers' within appropriate teams makes sure there is expertise, knowledge and authority to resolve disputes.
4.3	Landlords are expected to prioritise complaint handling and a culture of learning from complaints. All relevant staff must be suitably trained in the importance of complaint handling. It is important that complaints are seen as a core service and must be resourced to handle complaints effectively	Yes	E-learning records /Presentation at annual staff events/senior leadership and Board meeting	<p>Daily performance reporting provided business-wide, weekly complaints clinics in key areas and form part of 1-to-1 and team meeting agendas.</p> <p>We also actively promote the use of Housing Ombudsman online learning services to help improve staff awareness and skills in complaint handling. Alongside internal reviews and assessment following publication of Spotlight reviews take place and improvements made.</p>

Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.	Yes	Covered by Complaints Policy	All matters eligible for the complaints process are handled in accordance with the complaint policy, which is compliant with the code. We ensure consistent service for all customers, regardless of whether a complaint is made.
5.2	The early and local resolution of issues between landlords and residents is key to effective complaint handling. It is not appropriate to have extra named stages (such as 'stage 0' or 'informal complaint') as this causes unnecessary confusion.	Yes	Covered by Complaints Policy	<p>We have a robust process in place to encourage early resolution of issues, but a very clear policy in place for progressing to formal complaints, with clear communication to customers on their options and when a matter is entering a complaint process.</p> <p>When steps are taken to resolve matters through early resolution, we ensure customers are aware of the complaint process and how they can formally enter it should they</p>

				wish to do so at any time, regardless of any early resolution.
5.3	A process with more than two stages is not acceptable under any circumstances as this will make the complaint process unduly long and delay access to the Ombudsman.	Yes	Stated in Complaints Policy	We have a 2 Stage complaints process.
5.4	Where a landlord's complaint response is handled by a third party (e.g. a contractor or independent adjudicator) at any stage, it must form part of the two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes.	Yes	Stated in Complaints Policy	Complaints regarding contractors acting on behalf of NCC are managed internally and not by contractors.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Stated in Complaints Policy	Third parties do not handle complaints on our behalf
5.6	When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. The Code will refer to this as "the complaint definition". If any aspect of the complaint is unclear,	Yes	Stated in Complaints Policy	An acknowledgement letter/email is sent out at both Stage 1 and Stage 2, setting out our understanding of the complaint. Complaints are not logged until we have a clear understanding of the issue being reported and the outcome sought.

	the resident must be asked for clarification.			
5.7	When a complaint is acknowledged at either stage, landlords must be clear which aspects of the complaint they are, and are not, responsible for and clarify any areas where this is not clear.	Yes	Stated in Complaints Policy	<p>An acknowledgement letter is sent out at both Stage 1 and Stage 2, setting out our understanding of the complaint.</p> <p>In any cases where aspects ineligible for the complaint process have been requested alongside matters that can be logged, the acknowledgement letter is used to explain this, clearly stating what matters the complaint will investigate and setting out any matters that will not be investigated and why. Where appropriate, customers are also advised of how to resolve these matters or signposted to relevant services.</p>
5.8	At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of interest; and 	Yes	Stated in Complaints Policy	<p>Complaint process advises complaint handlers on all aspects of good complaint handling to make sure all of these aspects are considered.</p> <p>Internal publications and use of Housing Ombudsman e-learning are also used to ensure a strong and fair complaint handling culture.</p>

	d. consider all relevant information and evidence carefully.			There is also an internal review/quality check before any responses are issued to ensure that the response is complete
5.9	Where a response to a complaint will fall outside the timescales set out in this Code, the landlord must agree with the resident suitable intervals for keeping them informed about their complaint.	Yes	Stated in Complaints Policy	Communication with customers is mandated in process before additional time will be granted. Any extended timeframes are then shared with the customer in writing to ensure a clear understanding of the new target date.
5.10	Landlords must make reasonable adjustments for residents where appropriate under the Equality Act 2010. Landlords must keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review.	Yes	Stated in Complaints Policy and EDI strategy	http://intranet.nottinghamcity.gov.uk/media/13254/ncc-edi-strategy_2020-2023-final.pdf http://intranet.nottinghamcity.gov.uk/procurement/corporate-contracts/translation-services
5.11	Landlords must not refuse to escalate a complaint through all stages of the complaints procedure unless it has valid reasons to do so. Landlords must clearly set out these reasons, and they must comply with the provisions set out in section 2 of this Code.	Yes	Stated in Complaints Policy	If there are seen to be valid grounds for refusal of a complaint escalation, this is clearly communicated to customers, along with information to make sure they are aware of their right to escalate if they provide valid grounds, as well as directing them to Ombudsman services if unhappy with our response.

5.12	A full record must be kept of the complaint, and the outcomes at each stage. This must include the original complaint and the date received, all correspondence with the resident, correspondence with other parties, and any relevant supporting documentation such as reports or surveys.	Yes	Complaint records	All information from every stage of the complaint process is recorded and stored in line with data retention policy.
5.13	Landlords must have processes in place to ensure a complaint can be remedied at any stage of its complaints process. Landlords must ensure appropriate remedies can be provided at any stage of the complaints process without the need for escalation.	Yes	Stated in Complaints Policy and process, included in complaint proforma template /Discretionary Payments Policy	Various remedies are available to complaint handlers at every stage of the complaint process. Additional details have been added to complaint proformas to promote consideration of compensation under our discretionary policy to be used when appropriate to do so and ensure Resolutions Officers have easy access to specialised staff to guide them on compensation as a remedy.
5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives. Landlords must be able to evidence reasons for putting any restrictions in place and must	Yes	Stated in Complaints Policy	Section within Complaints Policy included to address vexatious complainants, which sets out examples of unacceptable behaviour and provides possible remedies.

	keep restrictions under regular review.			
5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.	Yes	Stated in Complaints Policy	<p>Policy provides details of sanctions available and sets out expectations.</p> <p>Known vulnerabilities are fully considered prior to implementing any sanctions for unacceptable behaviour to ensure customers remain able to engage with services in an appropriate manner.</p>

Section 6: Complaints Stages

Stage 1

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.1	Landlords must have processes in place to consider which complaints can be responded to as early as possible, and which require further investigation. Landlords must consider factors such as the complexity of the complaint and whether the resident is vulnerable or at risk. Most stage 1 complaints can be resolved promptly, and an explanation, apology or resolution provided to the resident.	Yes	Stated in Complaints Policy and complaint handling templates/process	This is included at every stage, with staff aware of options for early resolution.
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <u>within five working days of the complaint being received.</u>	Yes	Stated in Complaints Policy	We aim to log and acknowledge all Stage 1 complaints within 2 working days of receipt.
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Stated in Complaints Policy	Target timeframe set out in policy for Stage 1 response is 10 working days.
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident	Yes	Stated in Complaints Policy	Provision for additional time is provided within policy and also advised to complaint handlers during the Stage 1

	of the expected timescale for response. Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident.			process. 10 working days is the standard maximum time offered, with more time only being granted by discretion in exceptional circumstances.
6.5	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes	Stated in Complaints Policy	All standard complaint letter templates include details for Ombudsman services.
6.6	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes	Stated in Complaints Policy	While we aim to have resolutions fully implemented before providing a response, where this is not possible, a response is provided within target timeframes setting out proposed remedies and timeframes for action.
6.7	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	Stated in Complaints Policy	Addressing all issues raised is a key approach to complaint handling. Quality checking before issuing of complaint responses also checks for this.
6.8	Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if they are related and the stage 1 response has not been issued. Where the stage 1 response	Yes	Stated in complaint handling documents and process	If new, related information is provided at an early stage, details are added to the existing Stage 1 and provided to the Complaint handler. New issues are

	has been issued, the new issues are unrelated to the issues already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.			recorded as new complaints.
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response. 	Yes	Stage 1 response template and proforma	Details are included in the Stage 1 response template to make sure inclusion in every response. This also forms part of the quality checks carried out before complaint responses are issued to customers.

Stage 2

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.10	If all or part of the complaint is not resolved to the resident's satisfaction at stage 1, it must be progressed to stage 2 of the landlord's procedure. Stage 2 is the landlord's final response.	Yes	Stated in Complaints Policy	Information on how to escalate to stage 2 is provided throughout stage 1

6.11	Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaints procedure within five working days of the escalation request being received.	Yes	Stated in Complaints Policy	We aim to log and acknowledge all Stage 2 complaints within 2 working days.
6.12	Residents must not be required to explain their reasons for requesting a stage 2 consideration. Landlords are expected to make reasonable efforts to understand why a resident remains unhappy as part of its stage 2 response.	Yes	Stated in Complaints Policy	Information is gathered where possible at the point of escalation, but if not provided, escalation still proceeds. Further investigation and communication with the customer takes place as part of Stage 2 Review process.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Stated in Complaints Policy	Allocation of Stage 2 complaints, by standard, goes one level of management above the Stage 1. Where this is not possible, a different person or team may be allocated for impartiality.
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	Stated in Complaints Policy	Standard timeframe for a Stage 2 response is 20 working days.
6.15	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than	Yes	Stated in Complaints Policy	If additional time is required, customers are informed of the reason and a written response advising the new target date is provided.

	20 working days without good reason, and the reason(s) must be clearly explained to the resident.			Extensions beyond the standard maximum time are always discussed and agreed with the resident before being formalised, with the written response confirming that the new target date goes beyond the usual maximum to ensure full transparency.
6.16	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes	Included in Interim letter template	Details of Ombudsman services are included by default on interim letters.
6.17	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes	Stated in Complaints Policy	While we aim to have resolutions fully implemented before providing a response, where this is not possible, a response is provided within target timeframes setting out proposed remedies
6.18	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	Stated in Complaints Policy	Addressing all issues raised is a key approach to complaint handling. Quality checking before issuing of complaint responses also checks for this.
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: a. the complaint stage;	Yes	Stage 2 response template	Details are included in the Stage 2 response template to make sure inclusion in every response. This also

	<ul style="list-style-type: none"> b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied. 			forms part of the quality checks carried out before complaint responses are issued to customers.
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Stated in Complaints Policy	<p>Staff are advised that the next step beyond Stage 2 is to direct customers to Ombudsman services.</p> <p>Consultation with other areas, or more senior management is included as part of a Stage 2 response to ensure full consideration of issues as well as ensuring a fair and reasonable outcome.</p>

Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; • Taking action if there has been delay; • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; • Providing a financial remedy; • Changing policies, procedures or practices. 	Yes	Stated in Complaints Policy	Complaint responses are directed to consider fixing issues, apologising where appropriate, explaining what has gone wrong and how we will learn from any errors while offering a range of remedies and our proposed or implemented solutions. Records are updated accordingly with any decisions made at Stage 2.
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Stated in Complaints Policy /Discretionary Payments Policy	Remedies are proportionate to the issues experienced, in line with Ombudsman determinations/findings and our own discretionary policy.
7.3	The remedy offer must clearly set out what will happen and by when, in agreement with the resident where	Yes	Stated in Complaints Policy	Outcomes and timeframes are included as standard.

	appropriate. Any remedy proposed must be followed through to completion.			
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Case reviews from Ombudsman determinations. Spotlight reviews and any guidance /learning on HO website is reviewed regularly	This is considered when determining potential remedies, with learnings and outcomes from previous Ombudsman determinations widely shared, publicised and used as learnings.

Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. 	Yes	Annual report and HO Code Self-Assessment	<p>An annual complaints report is produced every year which includes all of the components listed.</p> <p>A summarised version is also published for better ease of access for customers.</p>

8.2	The annual complaints performance and service improvement report must be reported to the landlord's governing body (or equivalent) and published on the on the section of its website relating to complaints. The governing body's response to the report must be published alongside this.	Yes	Annual report process, website	The annual report is reported to the governing body and published on our website.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	N/A	There have been no restructures, mergers or significant procedure changes this year that would necessitate an additional self-assessment.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	N/A	This will be complied with if requested.
8.5	If a landlord is unable to comply with the Code due to exceptional circumstances, such as a cyber incident, they must inform the Ombudsman, provide information to residents who may be affected, and publish this on their website Landlords must provide a timescale for returning to compliance with the Code.	Yes	Covered by Disaster recovery Plan and emergency planning	This will be complied with when required.

Section 9: Scrutiny & oversight: continuous learning and improvement

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
9.1	Landlords must look beyond the circumstances of the individual complaint and consider whether service improvements can be made as a result of any learning from the complaint.	Yes	Quarterly and annual reporting. Complaints clinics/ internal peer reviews	Complaint feedback as a whole is used to inform and direct service improvements. Learning from complaints is integrated as a standard part of complaint handling culture. Regular spotlight updates to staff and updates through newsletters.
9.2	A positive complaint handling culture is integral to the effectiveness with which landlords resolve disputes. Landlords must use complaints as a source of intelligence to identify issues and introduce positive changes in service delivery.	Yes	Quarterly and annual reporting. Presentations to Board Members/Portfolio/MRC/Staff and customer events/tenant scrutiny	Language and approach to complaints is intended to demonstrate they are treated as valuable and effective feedback, intended to assist in service improvements. Learnings from complaints are taken from quarterly reports and used as guidance for service areas on issues in need of improvement.
9.3	Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints to	Yes	Quarterly and annual reporting Presentations to Board Members/Portfolio/MRC/Staff and customer events/tenant scrutiny	Learning and improvements from general complaint handling and Ombudsman determinations are fed back through reports, as well as direct feedback to

	stakeholders, such as residents' panels, staff and relevant committees.			appropriate staff and management of specific findings from determinations or issues.
9.4	Landlords must appoint a suitably senior lead person as accountable for their complaint handling. This person must assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.	Yes	Customer Experience and Insight Manager and Customer Relations Team Leader have overall responsibility for complaint handling as 'Complaints Officer'	All overseen by CEIM and CRTL.
9.5	In addition to this a member of the governing body (or equivalent) must be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This person is referred to as the Member Responsible for Complaints ('the MRC').	Yes	Executive Member for Housing and Planning	MRC is appointed and oversees complaint handling and receives regular updates and reports on complaint volumes, performance, issues, trends and Ombudsman determinations.
9.6	The MRC will be responsible for ensuring the governing body receives regular information on complaints that provides insight on the landlord's complaint handling performance. This person must have access to suitable information and staff to perform this role and report on their findings.	Yes	Quarterly and annual reports	Regular submissions to Housing Services and Portfolio Holder monthly meetings. Presentation to Housing Executive Board/Tenants Assurance Board
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive:	Yes	Quarterly and annual reports	Reporting includes all specified sections shown.

	<p>a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;</p> <p>b. regular reviews of issues and trends arising from complaint handling;</p> <p>c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and</p> <p>d. annual complaints performance and service improvement report.</p>		Monthly update meetings with MRC/Portfolio Holder	
9.8	<p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <p>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</p> <p>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</p> <p>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</p>	Yes	Included in divisional plans	<p>Evidence in Housing Divisional plans and in Customer Experience Service Plan</p> <p>Monthly review against performance for complaints are produced through Balance Scorecard for senior management</p>