

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	Housing Complaints Policy 1.3	This definition is incorporated into our complaints policy. It is available on our staff intranet and customer website.
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	Housing Complaints Policy 2.2, 2.6	
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 recorded, monitored and reviewed regularly.	Yes	Housing Complaints Policy 2.2	

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	Housing Complaints Policy 2.2	
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	Housing Complaints Policy 2.2	<p>The covering letter of our Tenant Satisfaction Measures Satisfaction Survey gave details of how to make a complaint, survey 'flags' raised serious concerns which were all actioned and some dissatisfaction was followed up where permission was given for this.</p> <p>The results of our Complaints Handling Survey (April 2025) indicate that residents find it easy to lodge a complaint</p>

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	Housing Complaints Policy 2.8	
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. • Matters that have previously been considered under the complaints policy. 	Yes	Housing Complaints Policy 2.8	
2.3	Landlords must accept complaints referred to them within 12 months of	Yes	Housing Complaints Policy 2.8	

	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.			
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	Housing Complaints Policy 2.9 Housing Complaint Procedure, 1	
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Housing Complaints Policy 2.8	

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	Housing Complaints Policy 2.5 https://www.runnymede.gov.uk/housing/housing-complaints/2	<p>Outlined on our website are the various ways customers can complain. The Council's two-stage complaints process can be accessed by completing the e-form on the website, emailing, writing, phoning or complaining in person.</p> <p>Staff will assist any tenants who need help making a formal complaint.</p> <p>The results of our Complaints Handling Survey (April 2025) indicate that residents find it easy to lodge a complaint.</p>
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	Housing Complaints Policy 3.2	<p>Staff have received training on the complaints policy and procedure, and reminders are issued at All Housing meetings.</p> <p>Review of the Complaints Register shows that complaints are raised in a variety of ways, including staff completing an internal e-form to log a complaint on behalf of a customer</p>
3.3	High volumes of complaints must not be seen as a negative, as they can be indicative of a well-publicised and	Yes	Housing Complaints Policy 2.1	The volume of complaints has risen and promotion of a culture where customers can complain, and staff

	accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.			see the benefits of assisting in continuous improvements through listening to feedback is discussed at All Housing staff meetings
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	Housing Complaints Policy Complaints Policy and Procedure https://www.runnymede.gov.uk/say/complaints/2	The corporate and Housing-specific complaint policies are available on the council's website.
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	Housing Complaints Policy 3.1	Advice about how to make a complaint and contact information for the relevant Ombudsman is provided in tenant newsletters and in regular correspondence with tenants. Details of the Ombudsmen is included in the template letters for complaints.
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any meeting with the landlord.	Yes	Housing Complaints Policy 2.6	Review of the Complaints Register shows complaints have been made by representatives of complainants.
3.7	Landlords must provide residents with information on their right to access the Ombudsman service and how the	Yes	Housing Complaints Policy 3.2	Contact details for the relevant Ombudsman are included in all complaint letter templates and information is provided in tenant newsletters.

	individual can engage with the Ombudsman about their complaint.			
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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	Housing Complaints Policy 4.3	The policy outlines that the Housing Business Development and Policy Manager has lead responsibility for complaint handling. This Officer is also responsible for liaison with the Ombudsman. The Corporate Head of Housing is responsible for responding to Stage 1 complaints and the Assistant Chief Executive (Place) is responsible for responding to Stage 2 complaints.
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 autonomy to act to resolve disputes promptly and fairly.	Yes	Housing Complaints Procedure, - Responsibilities Housing Complaints Policy 4.3	The Housing Business Development and Policy Manager triages complaints and liaises with the Corporate Head of Housing who has overall responsibility for resolving complaints.
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	Housing Complaints Policy 2.1, 3.2	Staff have received training on the complaints policy and procedure, and reminders are issued at All Housing meetings. Achieving ISO 9001 certification helped promote a culture of continuous improvement and learning from feedback including complaints.

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	Complaints Policy and Procedure https://www.runnymede.gov.uk/say/complaints/2 Housing Complaints Policy 3.2, 2.3	The Housing Complaints Policy aligns with the Corporate Complaints Policy, and both share the two-stage process and register. All Housing staff receive guidance on the value of learning from complaints to improve services and training on the complaint's procedure so customers can effectively raise a complaint with any member of staff.
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	Housing Complaints Policy 2.5, 3.2	
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	Housing Complaints Policy Complaints Policy and Procedure	The Complaints policy has two stages.

			https://www.runnymede.gov.uk/say/complaints/2	
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	Housing Complaints Procedure: Responsibilities	Contractors are required to adhere to the Complaints Policy if handling complaints directly.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Housing Complaints Procedure: Responsibilities	The Complaints procedure details that "If a complaint is made to a contractor, they will respond to the customer on our behalf and provide regular details of the complaints.
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, the resident must be asked for clarification.	Yes	Housing Complaint Procedure 14., Acknowledgement letter p9	The Housing Complaints Procedure includes an acknowledgement template letter which includes a definition of the complaint or a requirement for clarification. The MRC also selects a random sample of response letters to review each month.
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	Housing Complaint Procedure	The procedure requires that the complainant receives an explanation of the reasons the complaint, or any element of it, is not appropriate for the complaints process.

5.8	<p>At each stage of the complaints process, complaint handlers must:</p> <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 d. consider all relevant information and evidence carefully. 	Yes	Housing Complaint Procedure, 4 & 11	The procedure outlines what steps will be taken when investigating a complaint and they reflect this code.
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.	No	<p>Housing Complaints Policy 2.10, 2.14</p> <p>Housing Complaint Procedure no. 6</p>	We pride ourselves on providing a detailed response to complaints (and are successful in limiting the number of complaints escalated to Stage 2), so despite the policy and procedure commitments, we recognise that we do not always agree with the complainant a date for their complaint to be responded to or provide sufficient updates.
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	Housing Complaints Policy 2.17, 5.2	The corporate register of complaints records reasonable adjustments.

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	Housing Complaints Policy 2.8, 2.16	Exclusions are in line with section 2 of the Complaints Handling Code.
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	Housing Complaint Procedure – step 2 on the flowchart	Step 2 on the complaint's procedure flow chart outlines that once a complaint is logged at stage 1 or 2, a full record is kept of the complaint, dates actioned, staff responsible and response. In addition, since the introduction of a corporate complaints register in April 2024, the software facilitates this detailed record keeping.
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	Housing Complaints Policy 2.15	"An appropriate remedy can be provided at any stage of the complaints process without the need for escalation to stage 2 or to the Ombudsman".
5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives.	Yes	Housing Complaints Policy 2.16	

	Landlords must be able to evidence reasons for putting any restrictions in place and must 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	Housing Complaints Policy 2.16	

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	Housing Complaints Policy 2.5	The Housing Business Development and Policy Manager triages complaints and liaises with the Corporate Head of Housing who has overall responsibility for resolving complaints.
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> .	No	Housing Complaints Policy 2.10	We comply to most of this section. Corporate complaints handling software ensures that all complaints are automatically logged and acknowledged at stage 1. However, currently this does not currently include a definition of the complaint
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	No	Housing Complaints Policy 2.10	We pride ourselves on providing a detailed response to complaints (and are successful in limiting the number of complaints escalated to Stage 2), so despite the policy

				commitment, performance on response times is disappointing
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 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.	Yes	Housing Complaints Policy 2.10 Housing Complaint Procedure, 6. Complaints Policy and Procedure https://www.runnymede.gov.uk/say/complaints/2p6	We pride ourselves on providing a detailed response to complaints (and are successful in limiting the number of complaints escalated to Stage 2), so despite the policy and procedure commitments, we recognise that we do not always inform the complainant of the extended timescale.
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	Housing Complaint Procedure, 6.	Notwithstanding 6.4, case records show that, where complainants have been informed about an extension, they have been provided with details of the relevant Ombudsman.
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	Housing Complaint Procedure, 14	The procedure outlines that 'a response to the complaint will be provided when the answer is known, and not when the outstanding actions required to address the issue are completed'.
6.7	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant	Yes	Housing Complaint Procedure – Stage 1 response letter template	The template letter provides information on what should be included in the response including the points in code 6.7.

	policy, law and good practice where appropriate.			The MRC also selects a random sample of response letters to review each month.
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 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.	No		This will be incorporated into a refreshed procedure (the review of which was due in April 2025 and has been slightly delayed).
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	Housing Complaint Procedure Template Stage 1 Response Letter p9-10	A sample check of response letters sent shows this is actioned. The MRC also selects a random sample of response letters to review each month.

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	Housing Complaints Policy 2.13 Housing Complaints Procedure, 15.	The Procedure says "If the complaint is not resolved to the complainant's satisfaction it will be progressed to the next stage, to ensure the customer can challenge the decision by correcting any errors or raising any additional concerns".
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.	No	Housing Complaints Policy 2.10	We comply to most of this section. Corporate complaints handling software ensures that all complaints are automatically logged and acknowledged at stage 2. This does not currently include a definition of the complaint
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	Housing Complaints Policy 2.13	The Policy says, "Residents are not required to explain their reasons for requesting a stage 2 consideration, rather the Council will make reasonable efforts to understand why a resident remains unhappy as part of its stage 2 response".
6.13	The person considering the complaint at stage 2 must not be the same	Yes	Housing Complaints Policy 2.11	The Corporate Head of Housing is responsible for responding to Stage 1 complaints and the

	person that considered the complaint at stage 1.		Housing Complaints Procedure, 5, 8.	Assistant Chief Executive (Place) is responsible for responding to Stage 2 complaints.
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	No		We aspire to comply with this section. The Assistant Chief Executive (Place) is responsible for responding to Stage 2 complaints. This demonstrates the importance attached to effective complaint handling but can result in target dates being missed
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 20 working days without good reason, and the reason(s) must be clearly explained to the resident.	No	Housing Complaints Policy 2.14 Complaints Policy and Procedure https://www.runnymede.gov.uk/say/complaints/2p6	We aspire to comply with this section. The Assistant Chief Executive (Place) is responsible for responding to Stage 2 complaints. This demonstrates the importance attached to effective complaint handling but can result in unavoidable delays at short notice
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	Housing Complaints Policy 2.14 Complaints Policy and Procedure https://www.runnymede.gov.uk/say/complaints/2P6	Complaints policy outlines that if an extension is required the tenant will be provided with the Ombudsman's contact details and this is included on letter templates.
6.17	A complaint response must be provided to the resident when the	Yes	Housing Complaints Procedure	The Corrective Action Log (adopted as part of ISO 9001

	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.		Complaints Policy and Procedure https://www.runnymede.gov.uk/say/complaints/2 p6,14.	certification) helps track resolution of outstanding actions.
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	Housing Complaint Procedure - Stage 2 template response letter - 11-12	The template letter in the Housing Complaint Procedure provides the information that must be included and matches the requirements of code 6.18. The MRC also selects a random sample of response letters to review each month.
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; 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.	Yes	Housing Complaint Procedure Stage 2 template response letter -p11-12	The template letter in the complaint procedure provides the information that must be included and matches the requirements of code 6.18. The MRC also selects a random sample of response letters to review each month.

6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Complaints Procedure Stage 2 template response letter	In the stage 2 template response letter it outlines that 'this is Runnymede Councils final response'. The Assistant Chief Executive (Place) is responsible for responding to Stage 2 complaints, indicating the priority given to this activity.
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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; 	Yes	Complaints Procedure, 10, 11	The complaints procedure outlines what must be included in the response when the council are at fault – these include the bullet points in code 7.1.

	<ul style="list-style-type: none"> Changing policies, procedures or practices. 			
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Compensation Policy, 4.4	The Compensation procedure includes an annual uplift based on interest rates.
7.3	The remedy offer must clearly set out what will happen and by when, in agreement with the resident where appropriate. Any remedy proposed must be followed through to completion.	Yes	Compensation Policy, 4.1, 4.2, 6.2.	
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Compensation Policy, 3.6	

Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include: 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	https://www.runnymede.gov.uk/housing/housing-complaints/4 Housing Complaints Policy 4.6	<p>The self-assessment completed in June 2024 was published on the Council's website and presented to Housing committee for information.</p> <p>The current self-assessment will be presented in September 2025, along with the Performance and Service Improvement Report. Once approved, the report and the committee's response to the assessment will be published on the website</p>
8.2	The annual complaints performance and service improvement report must be reported to the landlord's	Yes	https://www.runnymede.gov.uk/housing/housing-complaints/4	The annual Complaints Performance and Service

	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.			Improvement Report 2023/24 is available on the council website.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	N/A		Though our organisation has not experienced a significant restructure, should this occur, we will carry out a self-assessment to ensure we continue to follow the Ombudsman's requirements.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	N/A		In this circumstance, we will review and update our self-assessment.
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.	N/A		We will carry out these actions, should exceptional circumstances arise.

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	Housing Complaints Policy 2.4	The Corrective Action Log (adopted as part of ISO 9001 certification) tracks improvements.
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	Housing Complaints Policy 2.1	Achieving ISO 9001 certification helped promote a culture of continuous improvement and learning from feedback including complaints.
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 stakeholders, such as residents' panels, staff and relevant committees.	Yes	Housing Complaints Policy 4.6	There is regular reporting to MRC and Housing committee, and information in the Tenants annual report. It is planned to increase feedback to staff and residents as part of moving towards meaningful scrutiny as we seek TPAS accreditation.
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	Housing Complaints Policy 4.3	Business Development and Policy Manager.

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	Housing Complaints Policy 4.4	Chair of Housing Committee.
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	Housing Complaints Policy 4.4	There is regular reporting to MRC and to Housing committee.
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: <ul style="list-style-type: none"> a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and 	Yes	Housing Complaints Policy 4.5	The Performance and Service Improvement Report will be presented to Housing Committee for approval in September 2025, along with this assessment and analysis of complaints during 2024/25.

	d. annual complaints performance and service improvement report.			
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> <ul style="list-style-type: none"> a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments; b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and c. act within the professional standards for engaging with complaints as set by any relevant professional body. 	Yes		<p>Achieving ISO 9001 certification helped promote a culture of continuous improvement and learning from feedback including complaints.</p>