

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	Complaints Policy.	The policy sets out the definition as required by the Housing Ombudsman Code.
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.	Complaints Policy, Active-H records.	Customers do not have to use the word ‘complaint’ for a complaint to be logged. We deal with all complaints submitted via a third party or representative in line with our Complaints Policy.
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	Complaints Policy, Active-H, Centralised Spreadsheet.	Service requests are recorded and reported on. They are discussed and reviewed by the team weekly and reported quarterly. Service Requests are better recorded and monitored on our new

	recorded, monitored and reviewed regularly.			housing management IT system ,Active-H.
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	Complaints Policy.	Officers continue to monitor and progress service requests while a complaint is being investigated.
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	Survey templates, staff training records. Records of follow up calls to dissatisfied customers.	Satisfaction surveys provide relevant signposting. Staff are trained in this area and calls are made to customers who indicate that they are dissatisfied with a service.

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.	Complaints Policy.	Valid exclusions are detailed in the policy. If we decide not to accept a complaint, we will inform the customer in writing with a detailed explanation and explain the customer's option to contact the Housing Ombudsman.
2.2	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: - 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.	Complaints Policy.	Valid exclusions are detailed in the policy. This includes: A first-time request for a service (Service Request). The complaint or formal enquiry relates to any active legal proceedings. The complaint has already been considered under a previous complaint, and the issues are the same. The complaint is considered to be unreasonable (an unreasonable complaint is one that is pursued without merit, persistently, or

	• Matters that have previously been considered under the complaints policy.			deliberately to cause annoyance or frustration).
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.	Complaints Policy.	Our Policy states: While we aim to resolve all dissatisfaction fairly and transparently, some matters fall outside the scope of this Policy, and we do not consider them to be a complaint. These include: • The issue giving rise to the complaint occurred over twelve months ago or the customer became aware of it over 12 months ago. We will, however, consider complaints outside of this period if there are deemed to be good reasons. This decision will be made by the complaints manager.
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	Yes.	Complaints Policy.	This is clearly set out in our Policy. The Complaint Resolution Officer's role includes handling complaints in line with the policy. All complaint letter templates, including those relating to refusing a

	fairly applied, the Ombudsman may tell the landlord to take on the complaint.			complaint, signpost customers to the Housing Ombudsman.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes.	Complaints Policy.	Acceptable exclusions are detailed in the Policy. The Complaint Resolution Officer supports the customer to understand individual circumstances. Our approach to reasonable adjustments is within the policy.

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	Complaints Policy. Dedicated Webpage.	Complaints are welcomed via a variety of channels including: • A dedicated webpage • In person • In writing • By telephone Reasonable adjustments within the policy sets out how we work in accordance with the Equality Act 2010.
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	Complaints Policy and internal process. Staff training. Guidance. Active H records.	All staff have the autonomy and responsibility to log formal complaints and are fully supported by the Complaint Resolution Team. Complaint template available to complete on new housing management system ActiveH.
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	Yes	Complaints Policy. Website.	Cobalt welcome complaints and feedback and regularly report and monitor volumes and learning.

	sign that residents are unable to complain.			
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	Complaints Policy.	The Policy is available on Cobalt's website and clearly sets out the stages and process. There is also an easy read version of the policy developed by customers, this is available on our website. The Policy has been approved by the Housing Ombudsman Service.
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	Complaints Policy.	Our Complaints Policy is available on our website as well as information about the Housing Ombudsman Service including contact details
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	Complaints Policy.	A complaint submitted via a third party or representative is handled in line with the Complaints Policy.
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	Complaints Policy. Outcome Letters.	Outcome letters explain the right to contact the Housing Ombudsman Service. There is also information about the Ombudsman Service available on our website.

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	Organisation structure chart. Job descriptions.	A centralised Complaints Resolution Team supporting the organisation and customers with complaints. A Senior Complaints Coordinator and Complaints Resolution Officers who take responsibility for complaint handling, including liaison with the Housing Ombudsman.
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	Complaint Policy.	The Complaint Resolution Team has full access to colleagues across Cobalt, at all levels, enabling smooth coordination when handling complaints. They are responsible for triaging and managing cases to ensure timely and effective resolutions, and they are also authorised to issue compensation for service failures.

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	Policy and Procedures. Regular Cross Team Meetings. Performance Indicators.	Complaint Resolution Officers are in place to ensure guidance and adherence to the Complaint Handling Code. There is a corporate drive to ensure complaints are dealt with effectively and as a core service. We hold regular meetings with service leads, sharing learning and applying service improvements. Quarterly reports are presented to the MRC and to the Customer Committee for scrutiny and challenge.
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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	Complaint Policy. EDI Strategy.	We apply this by following a clear complaints policy, supported by our EDI strategy and trained officers, to ensure all cases are handled consistently, fairly, and with appropriate reasonable adjustments where needed.

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	Complaint Policy.	Cobalt does not have any additional complaint stages. Complaint Triage is completed within the Code guidelines.
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	Complaint Policy.	Complaints are handled within the two-stage process as set out in the Code.
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	Complaints Policy.	Our Complaints Resolution team handles, and has responsibility for, all complaints.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Complaints Policy.	Complaint Resolution Team handle all 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	Yes	Complaints Policy and Letters.	Cobalt's Complaints Policy states that we will set out the complaint definition to the customer. Our standard acknowledgement template letters contain relevant

	any aspect of the complaint is unclear, the resident must be asked for clarification.			paragraphs to clarify our understanding of the complaint and the outcomes the customer is seeking. If any aspects are unclear, the Complaints Resolution Team will seek clarification from the customer (or representative, if applicable) to log the complaint accurately. ActiveH helps us better record and categorise.
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	Complaints Policy.	Complaint Resolution Officers ensure the code is applied correctly using a definition approach and setting out any exclusions to the complainant with clear reasons communicated at triage and acknowledgment
5.8	At each stage of the complaints process, complaint handlers must: - deal with complaints on their merits, act independently, and have an open mind; - give the resident a fair chance to set out their position; - take measures to address any actual or perceived conflict of interest; and	Yes	Complaints Policy and Template Letters. Housing Management System.	Complaints are handled by the Complaints Team and Resolution Officers with independence and professionalism, ensuring customers are listened to, all evidence is fairly considered, and any conflicts of interest are appropriately managed.

	d. consider all relevant information and evidence carefully.			Traceability and detail recorded on ActiveH.
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	Complaints Policy.	Complaint Resolution Officers liaise with customers if timescale extensions are required, keeping them informed throughout of progress and providing a clear reason for the extension should it be required.
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	Complaints Policy. EDI Strategy.	Complaint Resolution Officers receive additional guidance connected with the Equality Act 2010 and reasonable adjustments. Protected characteristics form part of the Housing Management System record keeping, in line with the GDPR. ActiveH complaint referral template includes text box for relevant information to be able to make reasonable adjustments. Individual circumstances are discussed with customers and reasonable adjustments put in place by the

				Complaints Resolution Officers.
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	Complaints Policy.	If a complaint is not escalated, valid reasons will be explained to the customers.
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	Complaints Policy. Housing Management System.	The Complaints Resolution Team is responsible for maintaining accurate records of complaints and outcomes on a dedicated system, with the implementation of the new ActiveH Housing Management System further enhancing case tracking, monitoring, and processing.
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	Complaint Training and Guidance. Complaints Compensation Matrix.	Complaint Resolution Officers have the autonomy to agree remedies at any stage of the complaints process. Case creation on ActiveH to house all information and actions taken within case.
5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents	Yes	Complaints Policy. Unacceptable Behaviour Policy.	Collaboration and cross team working as well as

	and/or their representatives. Landlords must be able to evidence reasons for putting any restrictions in place and must keep restrictions under regular review.			incident reporting systems and management.
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	Complaints Policy Unacceptable Behaviour Policy	When applying the Unreasonable Behaviour Policy consideration will be given to any reasonable adjustments for residents with protected characteristics under the Equality Act 2010.

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	Training and Procedures	The Complaints Resolution Team aims to resolve complaints promptly and uses a triage process to identify opportunities for swift resolution, and within the Code's timescales.
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	Complaint Policy. Triage Process.	A Complaint Resolution Officer will contact the customer to triage the complaint. If it can be resolved at this point, it is. If it cannot be resolved at this point, a formal complaint is raised. This is within five working days of the complaint being received. The Resolution Team supports customers to navigate the process.

6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Complaints Policy. Housing Management System Triggers. Performance Data	The Complaints Policy clearly set out these requirements, with targets managed by the Complaints Resolution Team, supported by layered monitoring of response deadlines. This ensures full team visibility and awareness of timescales. Clear visibility of deadlines on Housing management system ActiveH. This is a KPI and performance is reported to Board and Customer Committee.
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	Complaints Policy. Housing Management Records	Should an extension be required, approval must be obtained from the Manager or Assistant Director. The customer will be informed promptly and provided with a clear explanation of the reasons for the extension, ensuring they are fully updated throughout the process.

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	Complaints Policy. Template letters.	The Complaint Resolution Team will explain any extension to timescales and provide details of the Housing Ombudsman. Details of the Ombudsman are available on our website.
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	Complaints Policy.	The Complaints Resolution Team ensures responses are issued promptly once findings are clear, while continuing to actively track, follow up, and update customers on any outstanding actions or appointments. Outstanding actions can be recorded and reported on through ActiveH.
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	Complaints Policy. Template Letters.	This is outlined in the Complaints Policy and is part of the role of our Complaints Resolution Officers.
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	Complaints Policy. Complaint Responses.	This sits with the Complaints Resolution Team, who ensure agreed actions are tracked to completion and customers are kept informed. Any new

	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.			issues raised during an investigation are included within the Stage 1 response where relevant to the original complaint, or recorded separately as a new complaint where appropriate. All details and current and former cases traceable via ActiveH Housing Management System.
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 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 stage 2 if the individual is not satisfied with the response.	Yes	Complaints Policy. Template Letters.	Complaints Resolution team are responsible for sending complete outcome letters to customers. All the required points are included in each response letter.

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	Complaints Policy. Website.	Full support is provided to customers who are dissatisfied with the outcome of their Stage 1 complaint, and details are provided on how to escalate to Stage 2 in the Stage 1 response letter. Information is available on our website.
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	Complaints Policy.	All Stage 2 Complaints are acknowledged via letter within 5 working days of request being received. Automated escalation template letter created by ActiveH system.
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	Complaints Policy.	Customers do not have to explain reason for escalation to Stage 2. However, every effort would still be made by Complaints Resolution team to understand why the customer remains unhappy following Stage 1 response.
6.13	The person considering the complaint at stage 2 must not be the same person	Yes	Complaints Policy	To avoid any conflict of interest the Stage 2

	that considered the complaint at stage 1.			investigator would not be the same person who investigated at Stage 1. This process would be managed by the Manager and team and is clearly set out in the Complaints Policy.
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	Complaints Policy.	Stage 2 Timescales are included both on the website and in the Complaints Policy.
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.	Yes	Complaints Policy.	The Complaint Resolution Team will explain any extension to timescales. Clear communication will be made with the customer directly by the team.
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	Complaints Policy. Template Letter.s	The Complaint Resolution Team will explain any extension to timescales and provide details of the Housing Ombudsman. Details of the Ombudsman are available on our website.
6.17	A complaint response must be provided to the resident when the answer to the complaint is known, not when the	Yes	Complaints Policy.	The Complaint Resolution Team agrees to follow-on actions with the customer.

	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.			These are outlined in the completion letter. The team tracks outstanding actions and will provide updates to the customer throughout.
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	Complaints Policy.	Details are covered and included in the Complaints Policy. This is part of the role of the Complaints Resolution Officer.
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	Complaints Policy. Template Letters.	The Complaint Resolution Team is responsible for sending outcome letters. These are written in plain language and cover all the required points.
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 Policy.	Staff/managers from the service the complaint relates to are involved with

				all complaints, including Stage 2 responses.
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Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	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: • 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	Complaints Policy Compensation Matrix.	We review the root causes of complaints to identify opportunities for improvement and better support our customers. Regular meetings with service area managers help us assess complaints, drive service improvements, and capture key lessons learned.
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Complaints Policy. Compensation Matrix.	Complaint Resolution Officers take a holistic view of each complaint, considering all relevant information and the impact

				on the customer, and provide appropriate remedies.
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	Complaints Policy. Compensation Matrix.	When handling complaints, we work with the customer to see the issue through to resolution. We monitor any agreed remedies to ensure actions are completed, and the Complaint Resolution Officer clearly outlines the steps being taken in correspondence, including expected timescales where possible. Outstanding actions section of ActiveH to track, record and report on remedies.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Complaints Procedure. Compensation Matrix.	Referring to Ombudsman guidance when assessing complaints, ensuring any remedies offered are fair, proportionate, and in line with the Code. We have reviewed and updated our Complaints Compensation Matrix following recent guidance provided by the Housing Ombudsman.

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: - the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. - 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; - any findings of non-compliance with this Code by the Ombudsman; - the service improvements made as a result of the learning from complaints; - any annual report about the landlord's performance from the Ombudsman; and - any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.	Yes	Complaints Performance Service Improvement Report. Self-Assessment against the Code.	Complaints performance is reported the following ways: • Self-assessment against the Housing Ombudsman Code • Performance and Improvement report • Tenant Satisfaction Measures • Monthly Performance Indicators • Housing Ombudsman determinations Complaints performance reported to the MRC, Customer Committee and Board and is available on our website.

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	Board Papers. Website.	All of the listed and relevant documents and publications are available 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	N/A
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	N/A	N/A
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	N/A	N/A

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	Complaints Performance and Service Improvement Report. Customer Committee Reports.	A range of reports and performance indicators are used to capture learning from complaints, with service managers reviewing feedback and satisfaction data monthly to identify improvements, and overall performance monitored through quarterly reports to the Customer Committee Section for Learning outcomes for each complaint reportable via ActiveH.
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	Complaints Performance and Service Improvement Report. Reports to Customer Committee.	We promote a positive complaint handling culture by treating complaints as valuable insight, using them to identify service improvements and drive meaningful changes that enhance outcomes for residents. Using an improved system in ActiveH for tracking and reporting.

				Regular meetings held with service managers and directors .
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	Customer Committee.	Quarterly updates to Customer Committee
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	Management Structure. MRC Reports and Meetings.	Executive Director Communities and Regeneration is the SMT member with responsibility. There is an allocated Board Member with Responsibility for Complaints. The AD for Housing and Communities has overall responsibility.
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	A Member Responsible for Complaints (MRC) in position.	A Member Responsible for Complaints takes an active role in complaints and Ombudsman activity. Regular meetings with MRC, AD for Housing and

				Communities and Senior Complaints Coordinator.
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	A Member Responsible for Complaints (MRC) in position. MRC Reports. Customer Committee and Board Reports.	The Member Responsible for Complaints has oversight of the complaint performance, service improvement report and monthly performance indicators.
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: 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 d. annual complaints performance and service improvement report.	Yes	Complaint Policy. Complaints Performance and Service Improvement Report. MRC Reports. Customer Committee and Board Reports.	Quarterly Complaints Performance Reports are shared with the Member Responsible for Complaints and meetings are held to review any issues and trends.
9.8	Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:	Yes	Contractor Meetings Monthly Performance Indicators Cross team learning	Complaints are managed through a collaborative, organisation-wide approach led by the Complaints Resolution Team, with

	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.		Regular meetings between complaints team and service managers and leads.	collective responsibility for outcomes and adherence to professional standards.
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