

## 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	The definition is set out in our Complaints Policy under section 3.1.	<b>Actions:</b> None <b>Lead:</b> <b>Completion Due Date:</b>
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	Our Complaints Policy under section 6.5 confirms that we will handle complaints in line with this requirement.  Our Complaints Policy under section 6.11 confirms that we will deliver training to ensure all colleagues handle complaints in line with this requirement.	<b>Actions:</b> None <b>Lead:</b> <b>Completion Due Date:</b>
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	Yes	Our Complaints Policy under section 3.1 confirms that we will work in line with this requirement.	<b>Actions:</b> 1.Create fit for purpose reporting to monitor and review service requests.

	<p>the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be recorded, monitored and reviewed regularly.</p>		<p>All relevant colleagues have received training to recognise the difference between and service request and a complaint. Training also supports the delivery of recording, monitoring and reviewing service requests.</p> <p>Documented guidance has been provided to colleagues following training.</p>	<p>2. Managers to embed reporting and use to proactively act on open service requests.</p> <p><b>Lead:</b></p> <p>1. Business Improvement Manager</p> <p>2. All Operational Managers whose teams record service requests</p> <p><b>Completion Due Date:</b></p> <p>1. 30/06/2026</p> <p>2. 30/09/2026</p>
1.5	<p>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.</p>	Yes	<p>Our Complaints Policy under section 3.1, 6.1 and 6.5 confirms that we will work in line with this requirement.</p> <p>All relevant colleagues have received training to raise and handle complaints and service requests in line with this requirement.</p>	<p><b>Actions:</b> None</p> <p><b>Lead:</b></p> <p><b>Completion Due Date:</b></p>

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	<p>The Tenant Experience Team follow up on any expression of dissatisfaction through our Tenant Satisfaction Survey.</p> <p>Details of how residents can complain is shared in an accessible format via our website, involvement activities and across tenant communications.</p>	<p><b>Actions:</b> 1. Include follow up process and complaint information in new touchpoint survey procedure.</p> <p><b>Lead:</b> Head of Tenant Experience.</p> <p><b>Completion Due Date:</b> 30/09/2026</p>
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## 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	<p>Our Complaints Policy under section 3.2 and 6.3 confirms that we will work in line with this requirement.</p> <p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p> <p>Our complaint template letters include space to provide an explanation should we choose not to accept a complaint.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>
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:	Yes	<p>Our Complaints Policy under section 3.2 confirms that we will work in line with this requirement.</p> <p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>

	<ul style="list-style-type: none"> <li>• The issue giving rise to the complaint occurred over twelve months ago.</li> <li>• 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.</li> <li>• Matters that have previously been considered under the complaints policy.</li> </ul>			
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	<p>Our Complaints Policy under section 3.2 confirms that we will work in line with this requirement.</p> <p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>
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	<p>Our Complaints Policy under section 3.2 and 6.8 confirms that we will work in line with this requirement.</p> <p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>

	fairly applied, the Ombudsman may tell the landlord to take on the complaint.		Our complaint template letters include details around exclusions, upheld and not upheld complaints.	
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	<p>Our Complaints Policy under section 3.2 and 6.3 confirms that we will work in line with this requirement.</p> <p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>

### 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	<p>Our Complaints Policy under section 1.3 and 6.5 confirms that we will work in line with this requirement.</p> <p>Our complaints policy is available in different formats on our website; Plain English, Easy Read &amp; Video.</p> <p>We offer our complaints policy in different formats upon request.</p> <p>All relevant colleagues have received training to ensure we work in line with this requirement.</p>	<p><b>Actions:</b> None <b>Lead:</b> <b>Completion Due Date:</b></p>
3.2	Residents must be able to raise their complaints in any way and with any member of staff. All staff must be	Yes	Our Complaints Policy under section 5 and 6.5 confirms that	<p><b>Actions:</b> None <b>Lead:</b> <b>Completion Due Date:</b></p>

	aware of the complaints process and be able to pass details of the complaint to the appropriate person within the landlord.		<p>we will work in line with this requirement.</p> <p>All relevant colleagues have received training to ensure we work in line with this requirement.</p> <p>Our complaints procedure is documented and available to all staff.</p>	
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	<p>All relevant colleagues have received training to ensure we work in line with this requirement.</p> <p>Complaint reporting is in place. This tracks volumes and is shared with tenants, colleagues, our Executive Team, Housing and Property Committee and Board.</p> <p>Tenant Complaint Group and Tenant Complaint Rep Role in place to embed positive complaints culture, share volumes and provide skills/knowledge around our complaints process.</p>	<p><b>Actions: None</b>  <b>Lead:</b>  <b>Completion Due Date:</b></p>
3.4	Landlords must make their complaint policy available in a clear and	Yes	Our Complaints Policy under section 6.6 and 6.7 confirms that	<p><b>Actions: None</b>  <b>Lead:</b></p>

	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.		<p>we will work in line with this requirement.</p> <p>Our complaints policy is available in different formats on our website; Plain English, Easy Read &amp; Video.</p> <p>We offer our complaints policy in different formats upon request.</p>	<b>Completion Due Date:</b>
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	<p>Our Complaints Policy under section 1.1, 1.2 and 6.8 confirms that we will work in line with this requirement.</p> <p>Our complaint letter templates include information about the Housing Ombudsman.</p> <p>Our self assessment to show compliance against this code is published on our website.</p>	<p><b>Actions:</b> None <b>Lead:</b> <b>Completion Due Date:</b></p>
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	<p>Our Complaints Policy under section 6.5 confirms that we will work in line with this requirement.</p> <p>All relevant colleagues have received training to ensure we</p>	<p><b>Actions:</b> None <b>Lead:</b> <b>Completion Due Date:</b></p>

			handle complaints in line with this requirement.	
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.		<p>Our Complaints Policy under section 6.8 confirms that we will work in line with this requirement.</p> <p>Our complaint letter templates include information about the Housing Ombudsman</p> <p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></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	<p>The Tenant Experience Team are responsible for recording, distributing and monitoring complaints in line with the regulatory requirements.</p> <p>The Tenant Experience Manager is responsible for liaison with the Ombudsman.</p> <p>Complaint officer training has been provided to role specific colleagues across the business who are responsible for complaint handling. This is recorded in our complaints policy under section 5 and 6.11</p>	<p><b>Actions: None</b>  <b>Lead:</b>  <b>Completion Due Date:</b></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 autonomy to act to resolve disputes promptly and fairly.	Yes	<p>The Head of Tenant Experience reports to the Director of Housing and Tenant Experience. Training and communications have also been completed to ensure all levels of staff are available.</p> <p>All relevant colleagues have received training to ensure we</p>	<p><b>Actions: None</b>  <b>Lead:</b>  <b>Completion Due Date:</b></p>

			handle complaints in line with this requirement.	
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	<p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p> <p>A structured plan is in place as part of our colleague induction programme to ensure new starter and refresher training is provided. This is noted in our Complaints Policy under section 6.11</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></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	One single complaints policy is in place.	<p><b>Actions:</b>  <b>Lead:</b>  <b>Completion Due Date:</b></p>
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	Yes	Our Complaints Policy under section 6.6 and 6.7 confirms that we will work in line with this requirement.	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>

	<p>stages (such as 'stage 0' or 'informal complaint') as this causes unnecessary confusion.</p>		<p>We have a documented complaints procedure which defines the difference between a service request and a complaint, this includes two complaint stages.</p> <p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p>	
<p>5.3</p>	<p>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.</p>	<p>Yes</p>	<p>Our Complaints Policy under section 6.6 and 6.7 confirms that we will work in line with this requirement.</p> <p>We have a documented complaints procedure which defines the difference between a service request and a complaint, this includes two complaint stages.</p> <p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>

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	Our Complaints Policy under section 2 confirms that appropriate third parties will work in line with our policy and with this requirement.	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	<p>Our Complaints Policy under section 2 confirms that appropriate third parties will work in line with our policy and with this requirement.</p> <p>Our Procurement contracts include this requirement. Our Code of Conduct and Guide to Working in Tenants Home documents ensure compliance with the code.</p> <p>Our partnership meetings include complaint handling discussions.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>
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	Our Complaints Policy under section 6.6 confirms that we will work in line with this requirement.	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>

	any aspect of the complaint is unclear, the resident must be asked for clarification.		Our complaint letter templates include this information.	
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	<p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p> <p>Our complaint letter templates include space to provide explanation around our responsibilities and upheld/not upheld complaint points.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>
5.8	<p>At each stage of the complaints process, complaint handlers must:</p> <ol style="list-style-type: none"> <li>deal with complaints on their merits, act independently, and have an open mind;</li> <li>give the resident a fair chance to set out their position;</li> <li>take measures to address any actual or perceived conflict of interest; and</li> <li>consider all relevant information and evidence carefully.</li> </ol>	Yes	<p>Our Complaints Policy under section 6.1, 6.2, 6.3 and 6.4 confirms that we will work in line with this requirement.</p> <p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>
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	Yes	Our Complaints Policy under section 6.6 confirms that we will work in line with this requirement.	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>

	keeping them informed about their complaint.		<p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p> <p>Our complaint template letters include complaint timescale extensions.</p>	
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	<p>Our Complaints Policy under section 6.6 confirms that we will work in line with this requirement.</p> <p>Our application form records identified support needs.</p> <p>All relevant colleagues have received training around collecting, recording and using tenant data to support reasonable adjustments.</p> <p>Our Active H system has a central space to record and report on tenant data.</p> <p>A review process has been introduced to periodically check and make necessary changes to our tenant needs data.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>

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	<p>Our Complaints Policy under section 3.7 and 6.7 confirms that we will work in line with this requirement.</p> <p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>
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	<p>The Tenant Experience Team are responsible for recording incoming and outgoing complaints.</p> <p>We have a dedicated central space to save incoming and outgoing complaint records and documentation.</p> <p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p> <p>Our complaint template letters include complaint outcomes.</p>	<p><b>Actions:</b></p> <ol style="list-style-type: none"> <li>1. Embed 4 action training to support improvement of records around complaint updates and learning surveys.</li> <li>2. Embed Active H training to support improvement around recording service request and complaint correspondence/contacts.</li> </ol> <p><b>Lead:</b> Head of Tenant Experience  <b>Completion Due Date:</b> 30/09/2026</p>
5.13	Landlords must have processes in place to ensure a complaint can be remedied at any stage of its complaints	Yes	All relevant colleagues have received training to ensure we	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>

	process. Landlords must ensure appropriate remedies can be provided at any stage of the complaints process without the need for escalation.		<p>handle complaints in line with this requirement.</p> <p>Our Compensation Policy.</p> <p>Our Compensation Procedure.</p>	
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 keep restrictions under regular review.	Yes	<p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p> <p>Our Unreasonable Behaviour Policy.</p> <p>Our Anti Social Behaviour Policy</p>	<p><b>Actions:</b> None</p> <p><b>Lead:</b></p> <p><b>Completion Due Date:</b></p>
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	<p>Our Unreasonable Behaviour Policy.</p>	<p><b>Actions:</b> None</p> <p><b>Lead:</b></p> <p><b>Completion Due Date:</b></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	<p>Our Complaints Policy under section 6 confirms that we will work in line with this requirement.</p> <p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <b><u>within five working days of the complaint being received.</u></b>	Yes	<p>Our Complaints Policy under section 6.6 confirms that we will work in line with this requirement.</p> <p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p> <p>Monitoring and Monthly reporting is in place.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>

6.3	Landlords must issue a full response to stage 1 complaints <b><u>within 10 working days</u></b> of the complaint being acknowledged.	Yes	<p>Our Complaints Policy under section 6.6 confirms that we will work in line with this requirement.</p> <p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p> <p>Monitoring and Monthly reporting is in place.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>
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	<p>Our Complaints Policy under section 6.6 confirms that we will work in line with this requirement.</p> <p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p> <p>Monitoring and Monthly reporting is in place.</p> <p>Our Complaint template response letters include explanations for extensions.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>
6.5	When an organisation informs a resident about an extension to these	Yes	All relevant colleagues have received training to ensure we	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>

	timescales, they must be provided with the contact details of the Ombudsman.		<p>handle complaints in line with this requirement.</p> <p>Our Complaint template response letters include details for the Ombudsman.</p>	
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	<p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p> <p>Our Customer Service Standards published on the website define communication expectations.</p>	<p><b>Actions:</b></p> <p>1. Embed 4 action training to support improvement of records around complaint updates and learning surveys.</p> <p><b>Lead:</b> Head of Tenant Experience</p> <p><b>Completion Due Date:</b> 30/09/2026</p>
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	<p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p> <p>We have a check process in place where responses are audited by a manager or Head of Service.</p>	<p><b>Actions:</b> None</p> <p><b>Lead:</b></p> <p><b>Completion Due Date:</b></p>

			Our complaint template letters include the complaint definition and space to provide clear reasons for outcome.	
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.	Yes	<p>Our Complaints Policy under section 6.6 confirms that we will work in line with this requirement.</p> <p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>
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"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> <li>g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</li> </ul>	Yes	Our complaint template letters include all of these code requirements.	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>

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	<p>Our Complaints Policy under section 6.7 confirms that we will work in line with this requirement.</p> <p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>
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	<p>Our Complaints Policy under section 6.7 confirms that we will work in line with this requirement.</p> <p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p> <p>Our complaint letter templates include procedure for escalating to stage 2.</p> <p>Our Tenant Experience Team are responsible for acknowledging and logging stage 2 complaints.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>

			Monitoring and reporting is in place against timescales.	
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	Our Complaints Policy under section 6.7 confirms that we will work in line with this requirement.  All relevant colleagues have received training to ensure we handle complaints in line with this requirement.	<b>Actions:</b> None <b>Lead:</b> <b>Completion Due Date:</b>
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Our Complaints Policy under section 6.7 confirms that we will work in line with this requirement.  All relevant colleagues have received training to ensure we handle complaints in line with this requirement.	<b>Actions:</b> None <b>Lead:</b> <b>Completion Due Date:</b>
6.14	Landlords must issue a final response to the stage 2 <b><u>within 20 working days</u></b> of the complaint being acknowledged.	Yes	Our Complaints Policy under section 6.7 confirms that we will work in line with this requirement.  All relevant colleagues have received training to ensure we	<b>Actions:</b> None <b>Lead:</b> <b>Completion Due Date:</b>

			<p>handle complaints in line with this requirement.</p> <p>Monitoring and Monthly reporting is in place.</p>	
6.15	<p>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.</p>	Yes	<p>Our Complaints Policy under section 6.7 confirms that we will work in line with this requirement.</p> <p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p> <p>Monitoring and Monthly reporting is in place.</p> <p>Our Complaint template response letters include an explanation for extensions.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>
6.16	<p>When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.</p>	Yes	<p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p> <p>Our Complaint template response letters include details for the Ombudsman.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>

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	<p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p> <p>Our Customer Service Standards published on the website define communication expectations.</p>	<p><b>Actions:</b></p> <p>1. Embed 4 action training to support improvement of records around complaint updates and learning surveys.</p> <p><b>Lead:</b> Head of Tenant Experience</p> <p><b>Completion Due Date:</b> 30/09/2026</p>
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	<p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p> <p>We have a check process in place where responses are audited by a manager or Head of Service.</p>	<p><b>Actions:</b> None</p> <p><b>Lead:</b></p> <p><b>Completion Due Date:</b></p>
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;	Yes	Our complaint template letters include all of these code requirements.	<p><b>Actions:</b> None</p> <p><b>Lead:</b></p> <p><b>Completion Due Date:</b></p>

	<p>e. the details of any remedy offered to put things right;</p> <p>f. details of any outstanding actions; and</p> <p>g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.</p>			
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	We have a check process in place where stage 2 responses are audited by a manager or Head of Service.	<p><b>Actions:</b> None</p> <p><b>Lead:</b></p> <p><b>Completion Due Date:</b></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"> <li>• Apologising;</li> <li>• Acknowledging where things have gone wrong;</li> <li>• Providing an explanation, assistance or reasons;</li> <li>• Taking action if there has been delay;</li> </ul>	Yes	Our Complaint template response letters include all information to meet this criteria.	<p><b>Actions:</b> None</p> <p><b>Lead:</b></p> <p><b>Completion Due Date:</b></p>

	<ul style="list-style-type: none"> <li>Reconsidering or changing a decision;</li> <li>Amending a record or adding a correction or addendum;</li> <li>Providing a financial remedy;</li> <li>Changing policies, procedures or practices.</li> </ul>			
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	<p>Our Complaints Policy under section 6.3 confirms that we will work in line with this requirement.</p> <p>All relevant colleagues have received training to ensure we handle complaints in line with this requirement.</p> <p>Our training and process follows the Housing Ombudsman's remedy guidance.</p> <p>Our Compensation Policy and procedure support work in line with this requirement.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>
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	<p>Our training and process follows the Housing Ombudsman's remedy guidance.</p> <p>All relevant colleagues have received training to ensure we</p>	<p><b>Actions:</b></p> <p>1. Embed 4 action training to support improvement of records and completion of complaint updates.</p>

			<p>handle complaints in line with this requirement.</p> <p>Our Complaint template response letters include all information to meet this criteria.</p>	<p><b>Lead:</b> Head of Tenant Experience</p> <p><b>Completion Due Date:</b> 30/09/2026</p>
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Our training and process follows the Housing Ombudsman's remedy guidance.	<p><b>Actions:</b> None</p> <p><b>Lead:</b></p> <p><b>Completion Due Date:</b></p>

## 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"> <li>a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.</li> <li>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;</li> <li>c. any findings of non-compliance with this Code by the Ombudsman;</li> <li>d. the service improvements made as a result of the learning from complaints;</li> <li>e. any annual report about the landlord's performance from the Ombudsman; and</li> <li>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</li> </ul>	Yes	<p>The annual Complaints Performance and Service Improvement Report was presented to the Board annually and last May 2025.</p> <p>Annual self-assessment against the Complaint Handling Code presented to the Board annually and last in May 2025.</p> <p>Reporting on the Housing Ombudsman's Complaint Handling Code is included in our forward planning for board and committee meetings.</p>	<p><b>Actions: None</b>  <b>Lead:</b>  <b>Completion Due Date:</b></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	<p>The Annual Complaints Performance and Service Improvement Report is reported and approved by the Board annually. This was last undertaken in May 2025.</p> <p>The Board approved the Response, and this is published on the Golden Lane Housing website.</p> <p>Reporting on the Housing Ombudsman's Complaint Handling Code is included in our forward planning for board and committee meetings.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	<p>Self-assessment review is undertaken each year.</p> <p>The requirement will be followed should there be such significant change.</p> <p>No significant change in the past 12 months.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	A review and update of the self assessment will be undertaken if requested.	<p><b>Actions:</b>  <b>Lead:</b>  <b>Completion Due Date:</b></p>
8.5	If a landlord is unable to comply with the Code due to exceptional	Yes	The requirement will be followed if we are unable to comply with	<p><b>Actions:</b>  <b>Lead:</b></p>

	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.		the Code due to exceptional circumstances.	<b>Completion Due Date:</b>
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## 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	<p>Introduced new process to record complaint learnings on our complaint survey.</p> <p>Introduction of new platform 4 Action, which allows us to record and track progress of learnings and actions to improve.</p> <p>The Head of Tenant Experience analyses complaint themes and root cause monthly to set improvement actions.</p> <p>Complaints reporting is completed quarterly to Executive and Housing and Property Committee, providing details around service improvements.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>
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	<p>All relevant colleagues have received training to ensure we embed a positive complaints culture and to support identifying service improvements.</p> <p>The Head of Tenant Experience analyses complaint data monthly</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>

			<p>to set improvement actions, these are tracked and reported quarterly to our Housing and Property Committee.</p> <p>Our tenant complaints forum runs quarterly and provides tenant feedback to guide service improvement changes that we make.</p>	
9.3	<p>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.</p>	Yes	<p>Complaints performance is presented to tenants at our Board and Tenant Working Together Forum, More Voice More Choices Group and our Complaints forum.</p> <p>Complaints performance "how we are doing" is also published on our website.</p> <p>Complaints performance features in our Annual Tenant Calendar and our quarterly tenant newsletters.</p> <p>Monthly and quarterly complaints performance reports are shared with leaders and managers.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>

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	<p>The Head of Tenant Experience is responsible for these activities.</p> <p>Our Policy Tracker is in place to ensure policies are up to date, approved and reviewed when necessary.</p> <p>Risk Registers are in place should any risks linked to complaints need to be added.</p> <p>Monthly reporting is in place to ensure complaint analysis is completed and reported.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>
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	<p>The Chair of the Housing and Property Committee is appointed as the Member Responsible for Complaints.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>
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	<p>Complaint report is provided to each Housing and Property Committee.</p> <p>Quarterly performance reports which detail volume, categories, outcomes of complaints as well as reviews of service failings and issues.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>

9.7	<p>As a minimum, the MRC and the governing body (or equivalent) must receive:</p> <ul style="list-style-type: none"> <li>a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;</li> <li>b. regular reviews of issues and trends arising from complaint handling;</li> <li>c. regular updates on the outcomes of the Ombudsman’s investigations and progress made in complying with orders related to severe maladministration findings; and</li> <li>d. annual complaints performance and service improvement report.</li> </ul>	Yes	<p>Our Housing and Property Committee receive complaint reports at each meeting.</p> <p>The Board receive the annual Performance report on complaints including the Ombudsman’s Self Assessment.</p> <p>Quarterly performance reports which detail volume, categories, outcomes of complaints as well as reviews of service failings and issues</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>
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"> <li>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</li> <li>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</li> <li>c. act within the professional standards for engaging with complaints</li> </ul>	Yes	<p>Our Monthly assurance reports have KPIs set specific to complaints.</p> <p>Golden Lane Housing has in place a code of conduct for all employees to work in line with this criteria.</p> <p>Our Contractor code of conduct is issued to relevant third parties to support complaint handling in line with this criteria.</p>	<p><b>Actions:</b> None  <b>Lead:</b>  <b>Completion Due Date:</b></p>

	as set by any relevant professional body.			
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