

Appendix A: Self-assessment form 2025/26

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	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	A complaint must be defined as: ‘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.’	Yes	Housing Complaints Policy v6, section 2; staff complaints training; published complaints webpage.	The policy recognises dissatisfaction however expressed about the Council, its staff and those acting on its behalf. The policy review aligns the definition with the 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	Policy sections 2 and 6; procedure section 4.2; advocate authorisation template.	Residents do not need to use the word complaint. Representatives are supported, with consent checked before personal information is shared and without creating an additional complaint stage.
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	Procedure section 4.2 records service requests on Ideagen and links subsequent complaints; policy sections 3 and 8.	The procedure records and monitors service requests on Ideagen and links any subsequent complaint. Revised policy wording strengthens the distinction, supporting direct access to Stage 1 when dissatisfaction meets the complaint definition.
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	Staff training; officer referrals to the Housing Complaints inbox; procedure section 4.2, linked service request and Stage 1 records.	Dissatisfaction with a service request is recorded as a linked Stage 1 complaint. The underlying service action continues alongside the investigation, supported by staff training and case tracking.
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	Resident survey and engagement complaint signposting; original self-assessment.	Surveys, Policies and engagement activities signpost residents to the complaints process. Survey feedback informs improvement without automatically being treated as a formal complaint.

Section 2: Exclusions

Code	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	Procedure section 6; refusal template; Policy v6 section 3; revised policy draft.	The procedure and refusal template support reasoned decisions on individual complaints. Revised policy wording reinforces acceptance unless a valid exclusion applies; sample review will strengthen assurance of consistent application.
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: <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	Policy v6 section 3; revised policy draft; procedure section 6; refusal template.	The policy revision aligns exclusions with the Code, defines legal proceedings by filing at court and supports fair, individual consideration. Approval and implementation are being progressed through the November governance review.
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	Policy v6 section 3; revised policy draft; procedure section 6.	Revised policy wording sets out the 12-month period from the issue or the resident becoming aware of it, with discretion for older complaints. This clarification is being progressed through the policy approval process.
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	Procedure section 6; complaint refusal template; original assessment records tenant focus group review.	The refusal template explains the decision and the resident's right to ask the Ombudsman to review it. Resident scrutiny of the template supports clear, accessible explanations.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Policy v6 section 3; revised policy draft; procedure section 6; refusal template.	Revised policy wording reinforces consideration of each complaint's circumstances and avoids blanket exclusions. Case sampling will support assurance that the updated approach is applied consistently.

Section 3: Accessibility and Awareness

Code	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	Policy sections 7 and 11; procedure section 4.2; acknowledgement template; reasonable adjustment tracker.	Residents can complain online, by email, telephone, letter, through staff or social media. Acknowledgements offer help; adjustments are agreed with the tenant, recorded and shared with relevant teams.
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	Policy section 7; staff complaints training, including Customer Service; procedure sections 3 and 4.	Staff can receive complaints and refer them to the complaints team. Customer Service supports logging and acknowledgements; updated allocation and escalation arrangements strengthen continuity during team changes.
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	Policy section 1; noticeboard information; staff training and officer complaint referrals.	Complaints are welcomed as a source of learning. Volumes are considered alongside themes, outcomes and resident experience to understand access and identify service improvements.
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	Published Policy v6; tenant co-creation and armchair review; revised policy draft; planned policy summary.	The policy is published and has been reviewed with tenants through co-creation and armchair review. This will be the same for the revised wording as this provide significant improves clarity on the two stages and timescales; the accessible policy summary will accompany the approved update.
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	Policy final section on the Complaint Handling Code and section 12 on learning; complaints webpage.	The policy identifies the website, annual report and newsletters as routes for publicising complaints information, the Code and the Ombudsman service.

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	Policy section 6 and section 8 on representatives; procedure section 4.2; advocate authorisation template.	Residents can use a representative with appropriate consent. The policy review makes representation and accompaniment at meetings explicit and supports accessible participation.
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	Policy section 8; published Ombudsman contact information; complaint response and holding templates.	The policy and letters provide online, telephone and postal Ombudsman contacts. Residents can seek support during the complaints process and independent consideration following the final response.

Section 4: Complaint Handling Staff

Code	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	Procedure sections 3, 7 and 9; Housing Complaints team; HLB and TACT reports; Decision Day DD95.	Housing Complaints coordinates handling, Ombudsman liaison and reporting, supported by Customer Service, investigating officers and Executive Assistants at Stage 2. Revised responsibilities are being progressed through governance.
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	Procedure section 3; allocation to Service Leads and the Corporate Head of Housing; cross-service complaints meetings.	The complaints team works directly with service leads and senior managers to resolve issues. Updated responsibilities will clarify remedy approval and delegated authority, supporting prompt and fair resolution.
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.	Yes	Mandatory complaints training; HLB discussion; staff complaint objectives; procedure sections 3 and 9.	Complaints training, staff objectives and management reporting support a learning culture. Current cover arrangements support

	It is important that complaints are seen as a core service and must be resourced to handle complaints effectively			continuity, with capacity and deadlines monitored during staffing changes.
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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	Housing Complaints Policy v6; procedure scope and responsibilities.	A single Housing Complaints Policy covers landlord complaints under the Code. Staff training and quality review reinforce fair treatment and the appropriate handling of cases within different Ombudsman jurisdictions.
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	Policy v6 section 8; revised policy draft; procedure section 4.2; planned website and template alignment.	Early resolution is supported within Stage 1 once a complaint is identified. Revised policy wording removes references to an additional informal stage; website and template alignment form part of implementation.
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	Policy v6 section 8; revised policy draft; Stage 1 and Stage 2 procedures.	The Council's formal process has two stages, with Stage 2 providing the final response. The policy review strengthens clarity on direct access and Ombudsman support.
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	August 2026 contractor arrangements described by the service; policy and procedure review; procedure sections 4.1 and 4.3.	August 2026 procurement changes introduced contractor complaint handling arrangements. Policy and procedure alignment is under review so contractor responses form part of the Council's two-stage process and residents avoid duplicate processes.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Contract meetings discussing complaints; Council investigation and	Investigating officers obtain contractor evidence and complaints are discussed at contract meetings. Updated arrangements will reinforce the Council's responsibility for Code

			response arrangements; procedure section 4.3.	compliance and consistent resident communication.
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	Acknowledgement and response templates; procedure sections 4.2, 4.3 and Stage 2 escalation; quarterly sample checks.	Acknowledgements and responses record the complaint definition and outcomes sought. Officers clarify any uncertainty with the resident, supported by templates and sample checks.
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	Acknowledgement correspondence; procedure sections 4.2 and 4.3; complaint clarification records.	Acknowledgements summarise the complaint and clarify responsibility. Officers contact the resident where the scope or responsibility needs further explanation.
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 consider all relevant information and evidence carefully.	Yes	Staff complaints training; procedure section 4.3; Stage 2 review arrangements; sample audits.	Officers gather relevant evidence and give residents the opportunity to explain their concerns. Training and independent Stage 2 review support fair consideration; procedural updates strengthen conflict-of-interest guidance.
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	Holding response template; procedure section 4.5; Ideagen records of reasons and correspondence.	Holding responses explain delays and expected response dates. The procedure review reinforces agreeing suitable update intervals with residents and recording these arrangements on the case.
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	Yes	Policy section 11; procedure section 4.2; acknowledgement template; reasonable adjustment tracker and Ideagen description.	Acknowledgements invite disclosure of needs and requests for help. Adjustments are agreed with the tenant, recorded on the tracker and Ideagen, shared with relevant teams and kept

	of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review.			under review. Recording of disclosed disabilities and review outcomes supports assurance.
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	Procedure Stage 2 escalation; refusal template; policy section 8; Executive Assistant coordination.	Escalation requests are coordinated with the Executive Assistant team. The policy review reinforces that any refusal requires individual, Code-aligned reasons and Ombudsman challenge information; residents need not give reasons to access Stage 2.
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 Complaints Policy v6; procedure scope and responsibilities.	A single Housing Complaints Policy covers landlord complaints under the Code. Staff training and quality review reinforce fair treatment and the appropriate handling of cases within different Ombudsman jurisdictions.
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	Policy v6 section 8; revised policy draft; procedure section 4.2; planned website and template alignment.	Early resolution is supported within Stage 1 once a complaint is identified. Revised policy wording removes references to an additional informal stage; website and template alignment form part of implementation.
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	Policy v6 section 8; revised policy draft; Stage 1 and Stage 2 procedures.	The Council's formal process has two stages, with Stage 2 providing the final response. The policy review strengthens clarity on direct access and Ombudsman support.
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	August 2026 contractor arrangements described by the service; policy and procedure review; procedure sections 4.1 and 4.3.	August 2026 procurement changes introduced contractor complaint handling arrangements. Policy and procedure alignment is under review so contractor responses form part of the Council's two-stage process and residents avoid duplicate processes.

Section 6: Complaints Stages

Stage 1

Code	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	Procedure sections 4.1 to 4.3; Stage 1 acknowledgement and response templates; reasonable adjustment tracker; staff complaints training.	At Stage 1, officers consider complexity, evidence, vulnerability, risk and adjustment needs to decide whether a prompt explanation, apology or resolution is possible or further investigation is required. Case recording and procedural review support consistent triage.
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure within five working days of the complaint being received.	Yes	Policy section 8; procedure sections 4.1 and 4.2; Ideagen acknowledgement dates; quarterly sample audit.	Stage 1 complaints are logged, defined and acknowledged against the five-working-day requirement. Ideagen dates and sample audits support monitoring and timely allocation.
6.3	Landlords must issue a full response to stage 1 complaints within 10 working days of the complaint being acknowledged.	Yes	Policy section 8; Ideagen response records; published 2025/26 TSM CH02; annual complaints report.	The Stage 1 response target is ten working days from acknowledgement, with extensions explained and recorded. Published 2025/26 CH02 performance is 99.1%; case-level reconciliation will strengthen assurance of the calculation.
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	Procedure section 4.5; holding response template; Ideagen reasons and dates; policy section 8.	Holding responses record reasons and the expected response date. Revised policy wording clarifies that extensions are limited to ten additional working days without good reason and include Ombudsman contact details.
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	Procedure section 4.5; holding response template with Ombudsman contact details.	The holding response template and procedure require Ombudsman contact details whenever a Stage 1 extension is communicated.
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	Yes	Policy section 9; procedure section 5; Complaints Action Tracker.	Responses are issued when the answer is known. Outstanding actions remain on the

	completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.			action tracker, supporting completion and resident updates after the response.
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	Response template; procedure section 4.3; staff training and quarterly complaint sample audits.	Templates and sample audits support responses addressing all complaint points and explaining decisions. Where helpful, officers discuss outcomes with residents before issuing the written response.
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	Procedure section 4.4; further-information acknowledgement template; Ideagen case notes.	Related additional issues are incorporated before the Stage 1 response. The procedural review reinforces recording unrelated issues, or issues that would unreasonably delay the response, as a new complaint.
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response. 	Yes	Stage 1 response template; procedure section 5; quarterly sample audits and tenant focus group scrutiny.	Stage 1 templates include the complaint definition, decision and reasons, remedies, outstanding actions and escalation information. Sample audits and resident scrutiny support clear written responses.

Stage 2

Code	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	Policy section 8; procedure Stage 2 escalation and management; Executive Assistant referrals.	Residents can request Stage 2 where any part of Stage 1 remains unresolved to their satisfaction. The case and Stage 1 response are passed to the Executive Assistant team for final review.

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	Executive Assistant process; Ideagen escalation records; acknowledgement correspondence; revised policy draft.	Executive Assistants coordinate Stage 2 acknowledgements and case records. Revised policy wording makes the five-working-day requirement to acknowledge, define and log escalation requests explicit.
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	Policy section 8; procedure Stage 2 escalation.	Residents are not required to explain their reasons as a condition of escalation. Officers seek to understand continuing dissatisfaction during the Stage 2 review.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Stage 1 Service Lead responses; Stage 2 Corporate Director responses; Executive Assistant coordination and workflow.	Stage 2 is considered by a different officer from Stage 1, with Corporate Director responses and Executive Assistant coordination supporting independent review.
6.14	Landlords must issue a final response to the stage 2 within 20 working days of the complaint being acknowledged.	Yes	Policy section 8; Executive Assistant process; Ideagen dates; published 2025/26 TSM CH02.	The Stage 2 target is twenty working days from acknowledgement. Published 2025/26 CH02 performance is 100%; escalation and response records support monitoring against this requirement.
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	Policy section 8; procedure Stage 2 management; holding response template.	Revised policy wording clarifies the limit of twenty additional working days without good reason. Reasons, response dates and Ombudsman details are communicated through holding responses and retained on the case.
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	Holding response template with Ombudsman details; Executive Assistant coordination.	The holding response template includes Ombudsman contact details. Executive Assistant coordination supports their use when Stage 2 extensions are communicated.
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	Procedure section 3 on Stage 2 closure; Complaints Action Tracker; Lessons Learned Log.	The final response is issued when the answer is known. Outstanding actions and learning are recorded on trackers and remain subject to monitoring and resident updates.

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	Stage 2 response template; investigation evidence; quarterly sample review.	Stage 2 templates and sample reviews support complete responses to the complaint definition, with reasons explained using relevant evidence, policy, law and guidance.
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	Stage 2 response template; quarterly complaint sample audit; tenant complaints focus group reviews.	Final response templates include the stage, definition, decision, reasons, remedies, outstanding actions and Ombudsman referral information. Case records and trackers support follow-through.
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Procedure sections 3 and Stage 2 management; senior management direction; Executive Assistant coordination.	Executive Assistants coordinate input from relevant teams and contractors for the Corporate Director's final response. The Council retains responsibility for a complete Stage 2 response.

Section 7: Putting things right

Code	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;	Yes	Complaint responses; Complaints Action Tracker; Lessons Learned Log.	Responses acknowledge where services have fallen short and explain remedies and actions. Action and learning trackers support follow-through and improvements to practice.

	Reconsidering or changing a decision; Amending a record or adding a correction or addendum; Providing a financial remedy; 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	Remedy guidance; compensation policy cited by the service; complaint responses and case review.	Remedies are considered against the impact on the resident, with the compensation policy supporting financial redress. Case review and Ombudsman learning strengthen consistency and proportionality.
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 Action Tracker; fortnightly cross-service complaints meetings.	The action tracker records agreed remedies and supports monitoring through fortnightly complaints meetings. Clear ownership and completion dates help ensure actions are followed through.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Ombudsman remedies guidance and Spotlight reports; staff learning and senior management briefings.	Ombudsman remedies guidance and relevant Spotlight learning are shared with complaint handlers and senior managers to inform appropriate responses and service improvements.

Section 8: Self-assessment, reporting and compliance

Code	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;	Yes	Annual complaints report 2025/26 draft; this assessment; Ombudsman landlord report May 2026; case log.	The 2025/26 annual report and this assessment support scrutiny of performance and learning. The report is being finalised with the published Ombudsman landlord report, verified findings, refusals and service improvements before approval and submission.

	<p>any findings of non-compliance with this Code by the Ombudsman;</p> <p>the service improvements made as a result of the learning from complaints;</p> <p>any annual report about the landlord's performance from the Ombudsman; and</p> <p>any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</p>			
8.2	<p>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.</p>	Yes	<p>Decision Day DD95, 9 September 2026; original MRC response; revised submission papers; planned publication.</p>	<p>The original assessment received Decision Day approval on 9 September 2026. Revised documents are being progressed for the appropriate approval and publication alongside the governing body response.</p>
8.3	<p>Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.</p>	Yes	<p>Earlier self-assessments; this October 2026 review following significant team and procedure changes.</p>	<p>This review responds to significant team and procedural changes.</p>
8.4	<p>Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.</p>	Yes	<p>Procedure sections 7 and 9; Ombudsman case log, determinations and improvement planning.</p>	<p>The complaints team records Ombudsman orders and recommendations and coordinates resulting reviews of procedures and the self-assessment, supported by the case log and improvement planning.</p>
8.5	<p>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.</p>	Yes	<p>Procedure section 9; management escalation and continuity arrangements; planned exceptional-event instructions.</p>	<p>Management escalation supports communication with the Ombudsman. Exceptional-event arrangements will cover affected residents, website publication and a return-to-compliance timescale; current staffing issues are being addressed through continuity and submission planning.</p>

Section 9: Scrutiny & oversight: continuous learning and improvement

Code	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	Lessons Learned Log; procedure sections 5 and 9; fortnightly complaints meetings.	The Lessons Learned Log and fortnightly meetings support learning across services. Further theme analysis and Systems and Data support will strengthen identification and monitoring of wider 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	HLB and TACT discussions; staff training; team and contractor meetings; procedure section 9.	Complaint themes inform HLB, TACT, team and contractor discussions. Training and improvement tracking support a positive culture and changes that respond to resident experience.
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	TACT reports; training case studies; resident engagement and complaints focus group; policy section 12.	TACT reporting, resident scrutiny and staff case studies share learning and improvements. Further newsletter and case-study communication will make completed service changes more visible to residents.
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	Procedure section 3 and allocation arrangements; Corporate Head of Housing oversight; HLB reporting.	Karen Thorburn, Corporate Head of Housing, provides senior oversight, supported by Paul Salter and the complaints team. Performance review supports consideration of themes, risks and required policy changes.
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	DD95 identifies Councillor Mark Reach, Cabinet Member for Good Homes, as Member Responsible for Complaints.	Councillor Mark Reach, Cabinet Member for Good Homes, is the MRC. He was briefed on the self-assessment and annual report for the September Decision Day and supports the submission.

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	DD95 governance arrangements; MRC briefing and response; TACT quarterly reports.	The MRC receives briefings and has access to relevant officers. TACT provides resident scrutiny, supporting the Council's formal oversight and governing body reporting.
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	Procedure section 9; TACT and HLB reporting; Ombudsman case log; annual report; developing MRC reporting.	Monthly and quarterly reporting, the annual report and Ombudsman case log provide the basis for oversight. Reporting is being strengthened to give the MRC and governing body regular, complete information on performance, trends and investigation outcomes.
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: 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	Standard complaints objective for Housing staff; fortnightly cross-service meetings; staff training; contractor complaint discussions.	The standard complaints objective reinforces collaboration, collective responsibility and professional conduct. Cross-service meetings, training and contract management support shared expectations for staff and relevant third parties.