

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              | Our complaint handling policy makes this clear and can be accessed here <a href="https://mjha.org.uk/wpcontent/uploads/2025/11/25complaintpolicy.pdf">https://mjha.org.uk/wpcontent/uploads/2025/11/25complaintpolicy.pdf</a> more specifically it is detailed in section 4.1 |                                                                                                                                                                                                                      |
| 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              | This is detailed in the policy in section 4.                                                                                                                                                                                                                                  | Our team briefings and meeting encourage our staff to address this and to document any complaints. Further training can be provided, if we feel that this is not routinely being adhered to, or understood properly. |

## APPENDIX A: SELF-ASSESSMENT FORM

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                                                     | Comply: Yes / No | Evidence                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Commentary / explanation                                                                                                                                                                                             |
|----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 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              | <p>Our complaints policy makes this clear, and is covered fully in section 4. A small excerpt of which is here: "4. Defining a complaint 4.1 Following the introduction of the Housing Ombudsman's complaint handling code in September 2020, a complaint is universally defined as: "An expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the organisation, its own staff, or those acting on its behalf, affecting an individual resident or group of residents." 4.2 A service request is a request from a resident to their landlord requiring action to be taken to put something right. Service requests should be recorded, monitored and reviewed regularly. If further enquiries are needed following a service request in order to resolve the matter or if a resident requests it the issue must be logged as a complaint. 4.3 An enquiry is when a customer contacts us to ask about something concerning their home or tenancy. For example, a customer might ask for information about their rent account, or to query or clarify something on their rent statement. This is not a complaint. If we fail to provide or clarify this information, then this could become a complaint. 4.4 A comment or suggestion is when a customer expresses an idea or opinion on an aspect of their home, tenancy, or in relation to the wider day-to-day running of NWJHA. This is not a complaint. If we fail to acknowledge or respond to a comment or suggestion with respect, then this could become a complaint. 4.5 Staff are trained to recognise the difference between a complaint, service request, enquiry and a comment/ suggestion. Staff are encouraged to take appropriate steps to resolve the issue for residents as early as possible"</p> | Our team briefings and meeting encourage our staff to address this and to document any complaints. Further training can be provided, if we feel that this is not routinely being adhered to, or understood properly. |

## APPENDIX A: SELF-ASSESSMENT FORM

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                                                                   | Comply: Yes / No | Evidence                                                                                                                                                                                                                                                                                                                                                   | Commentary / explanation                                                                                                                                                                                                                         |
|----------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 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              | Where dissatisfaction with a response to a service request occurs, we will register this as a complaint and offer the resident all the options available to them to fully document this.                                                                                                                                                                   | All service requests are tracked by the person responsible for handling complaints and if a satisfactory outcome cannot be reached, these will be escalated to a complaint.                                                                      |
| 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              | Full details of this are made available to all our residents, but also is included here: <a href="https://mjha.org.uk/compliments-complaints-feedback/">https://mjha.org.uk/compliments-complaints-feedback/</a> however we do also conduct tenant satisfaction surveys, wherein the resident is given options with relation to raising further complaints | Repairs or outstanding repairs are included in our surveys, and often, on a sample basis, there are further post repair surveys carried out together with inspections to assess whether the works have been completed to everyone's satisfaction |

### 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              | The grounds for not accepting a complaint are detailed in policy section 4.7 |                          |
| 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"> <li>The issue giving rise to the complaint occurred over twelve months ago.</li> <li>Legal proceedings have started.</li> <li>Matters that have previously been considered under the complaints policy. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court.</li> </ul> | YES              | The grounds for not accepting a complaint are detailed in policy section 4.7 |                          |

## APPENDIX A: SELF-ASSESSMENT FORM

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                                                                                   | Comply: Yes / No | Evidence                                                                     | Commentary / explanation                                                                                                                                                                                                                               |
|----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 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              | The grounds for not accepting a complaint are detailed in policy section 4.7 |                                                                                                                                                                                                                                                        |
| 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              | Detailed in policy section 4.9 and 4.10                                      |                                                                                                                                                                                                                                                        |
| 2.5            | Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.                                                                                                                                                                                                                                             | YES              |                                                                              | All complaints would be properly documented and the reasons for that complaint would be properly considered by the person responsible for handling complaints. Each complaint is therefore assessed under its own circumstances and on its own merits. |

### 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              | This is detailed in section 7 of our policy.                                                                                                                                                                         | Complaints can be made easily by telephone, online, via email, or in person by the resident or on behalf of that resident.                                                                                                     |
| 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              | This is covered in staff meetings or one to one training sessions with staff members on a regular basis.                                                                                                             | Staff members understand the process and that all complaints must reach the person responsible for handling complaints, so that this can be properly allocated, investigated addressed and resolved.                           |
| 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              | We do not treat complaints as a negative thing, we would rather use them as a live feedback tool where we can learn how to improve our processes or make our services to residents more effective.                   |                                                                                                                                                                                                                                |
| 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              | This is detailed on our website and is distributed periodically in newsletters to residents, <a href="https://mjha.org.uk/compliments-complaints-feedback/">https://mjha.org.uk/compliments-complaints-feedback/</a> |                                                                                                                                                                                                                                |
| 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              | This is detailed in section 1 of the policy.                                                                                                                                                                         |                                                                                                                                                                                                                                |
| 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              | This is detailed in section 10 of the 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              | This is detailed in section 9 of the policy.                                                                                                                                                                         | These details are available on our website but are also distributed to residents, periodically, in newsletters. Any letters or communication regarding complaints will also include contact details for the housing ombudsman. |

### 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              | Our Housing Coordinator, Mahsa Wiseglass acts at the Complaints Handling Officer and this information is available to our residents. This covered in section 5 of the policy and also detailed in the annual report which is also published on the website.                                                                                                      | Board member and Vice Chair, Jane Blank is our board member responsible for complaints. David Mintz (CEO) acts as executive lead for complaints. |
| 4.2            | The complaints officer must have access to staff at all levels to facilitate the prompt resolution of complaints.<br><br>They must also have the authority and autonomy to act to resolve disputes promptly and fairly.                                                                                                              | YES              | We are a small but well resourced housing association and therefore there is quick and easy access to staff at any level to assist with the speedy resolution of complaints or disputes.                                                                                                                                                                         |                                                                                                                                                  |
| 4.3            | Landlords are expected to prioritise complaint handling and a culture of learning from complaints. All relevant staff must be suitably trained in the importance of complaint handling. It is important that complaints are seen as a core service and must be resourced to handle complaints effectively.                           | YES              | In addition to attending housing conferences where this is covered in seminars, the complaints officer refreshes their training and knowledge from time to time using the resources available from various training outlets including those provided by the bodies that we hold membership to. This is disseminated to other members of staff in other training. |                                                                                                                                                  |

### 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              | We have one single complaints policy.                                                                                                                                                                                                                                                                                     | All residents are treated entirely equally, regardless of complaints or otherwise.                                                                               |
| 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              | There are no additional nor informal stages in our complaints policy.                                                                                                                                                                                                                                                     | Only the stages detailed in our policy exist.                                                                                                                    |
| 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              | Two stage policy has been adopted and is in place.                                                                                                                                                                                                                                                                        |                                                                                                                                                                  |
| 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              | Any complaints relating directly to contractors are handled by the NWJHA using only our policy. Therefore there are no additional stages other than the two detailed in our policy.                                                                                                                                       |                                                                                                                                                                  |
| 5.5            | Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.                                                                                                                                                                                                                   | YES              | Any complaints relating directly to contractors are handled by the NWJHA using only our policy.                                                                                                                                                                                                                           |                                                                                                                                                                  |
| 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              | Our understanding of the complaint would be detailed in the complaint acknowledgment correspondence that would be issued in the event of a complaint at both stages. Where we are able to identify or specify the outcome or resolution sought by the resident, we would include that too, at an early as possible stage. | If we are unclear as to what outcomes the resident is seeking, we will liaise with residents in order to investigate, gain understanding and gather information. |



## APPENDIX A: SELF-ASSESSMENT FORM

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|----------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 5.8            | At each stage of the complaints process, complaint handlers must:<br>a. deal with complaints on their merits, act independently, and have an open mind;<br>b. give the resident a fair chance to set out their position;<br>c. take measures to address any actual or perceived conflict of interest; and<br>d. consider all relevant information and evidence carefully. | YES              | Complaints officer remains impartial and is encouraged at all times to act and think independently, the complaints officer will assess the case initially and decide which responsible person or head of department to allocate the investigation of a complaint, eliminating conflicts of interest in the process.<br><br>If we are unclear as to what outcomes the resident is seeking, we will liaise with residents in order to investigate, gain understanding and gather information.<br><br>Staff members are trained to ensure that they adhere to our policies but also gather all relevant information or evidence necessary to progress the investigation of a complaint on a thorough basis. | All residents are treated entirely equally, regardless of complaints or otherwise.                                                                                                                                                                                            |
| 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              | In the event that a complaint cannot be resolved or concluded within the stated timescales, we will make contact with the resident in order to agree a reasonable extension to these timescales.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | We would continue to update residents during the any extension period.                                                                                                                                                                                                        |
| 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 has disclosed. Any agreed reasonable adjustments must be kept under active review. disabilities a resident.                                                         | YES              | Detailed in our policy in section 6.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | We endeavour to make reasonable adjusted where appropriate and necessary under the Equality Act 2010. If any of those adjustments are long standing, they become adopted and documented within our systems and processes for staff training, awareness and general reference. |
| 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              | Our two stage process as per the policy is followed at all times. In the event that there is a refusal to escalate as per section 4 of the policy, we would document this and explain the reasons for this clearly to the resident.                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                               |



## APPENDIX A: SELF-ASSESSMENT FORM

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|----------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 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              | The complaints officer will track and monitor a complaint to ensure timely resolution. All complaints are documented and saved in their own folder on our servers.                                                                                                                                                       | Each complaint is given an individual reference to aid in tracking efficiently.                                                                                                               |
| 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              | This is detailed in our policy under sections 4, and specifically 4.5.                                                                                                                                                                                                                                                   | Our goal is to resolve all complaints as early as possible so that all parties are satisfied with the outcome and so that the resident feels that they are being prioritised and listened to. |
| 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              | We have adopted an unreasonable and persistent behaviour policy in place.<br>This can be found here: <a href="https://mjha.org.uk/wp-content/uploads/2025/11/Unreasonable-and-persistent-behaviour-policy-25.pdf">https://mjha.org.uk/wp-content/uploads/2025/11/Unreasonable-and-persistent-behaviour-policy-25.pdf</a> | Our goal is to resolve all complaints as early as possible so that all parties are satisfied with the outcome and so that the resident feels that they are being prioritised and listened to. |
| 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              | This is detailed in section 3 of the unreasonable and persistent behaviour policy.                                                                                                                                                                                                                                       |                                                                                                                                                                                               |

### SECTION 6: Complaints Stages

| 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              | All complaints are managed by the complaints officer using a fixed system that ensures that the same person addresses and handles the complaint initially.                                      | All complaints arrive with the same person, following the same process and procedures, allowing the complaint resolution to be streamlined or resolved speedily, but thoroughly. |
| 6.2            | Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <b>within five working days of the complaint being received.</b>                                                                                                                                                                                                                                             | YES              | Detailed in our policy in section 7.3                                                                                                                                                           |                                                                                                                                                                                  |
| 6.3            | Landlords must issue a full response to stage 1 complaints <b>within 10 working days</b> of the complaint being acknowledged.                                                                                                                                                                                                                                                                           | YES              | Detailed in our policy in section 7.6                                                                                                                                                           |                                                                                                                                                                                  |
| 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              | Detailed in our policy in section 7.6                                                                                                                                                           |                                                                                                                                                                                  |
| 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              | Detailed in our policy in section 7.6                                                                                                                                                           |                                                                                                                                                                                  |
| 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>We use the resources provided by the Housing Ombudsman including templates.</p> <p>The complaints officer monitors and pushes the case until it is properly and satisfactorily resolved.</p> |                                                                                                                                                                                  |

## APPENDIX A: SELF-ASSESSMENT FORM

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|----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|
| 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>We use the resources provided by the Housing Ombudsman including templates.</p> <p>The complaints officer monitors and pushes the case until it is properly and satisfactorily resolved.</p> | .                        |
| 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              | Detailed in our policy in section 7.6                                                                                                                                                           |                          |
| 6.9            | <p>Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language:</p> <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              | <p>We use the resources provided by the Housing Ombudsman including templates.</p> <p>The complaints officer monitors and pushes the case until it is properly and satisfactorily resolved.</p> |                          |

## APPENDIX A: SELF-ASSESSMENT FORM

### 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              | Detailed in our policy in section 7.6                                                                                                                                                           |                          |
| 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              | Detailed in our policy in section 7.3                                                                                                                                                           |                          |
| 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              | Where the reasoning for stage 2 is unclear, we will liaise with complainant in order to address and discuss.                                                                                    |                          |
| 6.13           | The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.                                                                                                                                                                                                             | YES              | Detailed in our policy in section 7.7                                                                                                                                                           |                          |
| 6.14           | Landlords must issue a final response to the stage 2 <b>within 20 working days</b> of the complaint being acknowledged.                                                                                                                                                                                                           | YES              | Detailed in our policy in section 7.6                                                                                                                                                           |                          |
| 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              | Detailed in our policy in section 7.6                                                                                                                                                           |                          |
| 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              | Detailed in our policy in section 7.6                                                                                                                                                           |                          |
| 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>We use the resources provided by the Housing Ombudsman including templates.</p> <p>The complaints officer monitors and pushes the case until it is properly and satisfactorily resolved.</p> |                          |

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|----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|
| 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>We use the resources provided by the Housing Ombudsman including templates.</p> <p>The complaints officer monitors and pushes the case until it is properly and satisfactorily resolved.</p> | .                        |
| 6.19           | <p>Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:</p> <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 the Ombudsman Service if the individual remains dissatisfied.</li> </ul> | YES              | <p>We use the resources provided by the Housing Ombudsman including templates.</p> <p>The complaints officer monitors and pushes the case until it is properly and satisfactorily resolved.</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 are a small but well resourced housing association and therefore there is quick and easy access to staff at any level.                                                                       | .                        |

### 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.<br>These can include: <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> <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> | YES              | Detailed in our policy in section 8.1<br><br>Where necessary, and we work with the complainant to reach a satisfactory resolution, actions include those listed in 7.1 of the code. |                          |
| 7.2            | Any remedy offered must reflect the impact on the resident as a result of any fault identified.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | YES              | Detailed in our policy in section 8.2                                                                                                                                               |                          |
| 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              | Detailed in our policy in section 8.2                                                                                                                                               |                          |
| 7.4            | Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | YES              | Detailed in our policy in section 8.3                                                                                                                                               |                          |

### SECTION 8: Putting things right

| 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:<br>a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.<br>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;<br>c. any findings of non-compliance with this Code by the Ombudsman;<br>d. the service improvements made as a result of the learning from complaints;<br>e. any annual report about the landlord's performance from the Ombudsman; and<br>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. | YES              | Detailed in our policy in section 8.1<br><br>Where necessary, and we work with the complainant to reach a satisfactory resolution, actions include those listed in 7.1 of the code.                                                                                                                                                                                                                                                                                                                         |                          |
| 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              | The self assessment is carried out on an annual basis and is published online, on our website. Regular reports are given to our board on the handling of complaints and performance in that area. Any non-compliance would be documented and included too. We endeavour to use lessons learned from complaint handling to improve our processes procedures and tenant engagement/communication.<br><br>All relevant information in this respect is shared with the executive management team and the board. |                          |
| 8.3            | Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | YES              | This would be carried out and implemented if necessary and when required.                                                                                                                                                                                                                                                                                                                                                                                                                                   |                          |



## APPENDIX A: SELF-ASSESSMENT FORM

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                   | Comply: Yes / No | Evidence                                                                  | Commentary / explanation |
|----------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|---------------------------------------------------------------------------|--------------------------|
| 8.4            | Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.                                                                                                                                                                                                              | YES              | This would be carried out and implemented if necessary and when required. |                          |
| 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              | This would be carried out and implemented if necessary and when required. |                          |

### SECTION 9: Scrutiny & oversight: continuous learning and improvement

| Code provision | Code requirement                                                                                                                                                                                                                                     | Comply: Yes / No | Evidence                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Commentary / explanation |
|----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|
| 9.1            | Landlords must look beyond the circumstances of the individual complaint and consider whether service improvements can be made as a result of any learning from the complaint.                                                                       | YES              | Learning outcomes are considered and documented at the conclusion of a complaint investigation.                                                                                                                                                                                                                                                                                                                                                                |                          |
| 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              | Learning outcomes are covered in staff meetings, integrated into our training and are shared at every level.                                                                                                                                                                                                                                                                                                                                                   |                          |
| 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              | <p>Learning outcomes are shared with our Resident representatives to the board for transparency.</p> <p>Learning outcomes are covered in staff meetings, integrated into our training and are shared at every level.</p> <p>Any contractor complaints are dealt with and covered in regular meetings we hold with the main contractors that service our properties. Where changes are required, these are properly documented and agreed with all parties.</p> |                          |

## APPENDIX A: SELF-ASSESSMENT FORM

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Comply: Yes / No | Evidence                                                                                                                                                                                                                                                                                                                                                                                                     | Commentary / explanation |
|----------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|
| 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              | The person appointed is sufficiently senior and has access to both the board and executive management teams, as well as every other level of the organisation staff.                                                                                                                                                                                                                                         |                          |
| 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              | Our vice chair and boardmember is the member responsible for complaints.                                                                                                                                                                                                                                                                                                                                     |                          |
| 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              | Regular reports are given to our board on the handling of complaints and performance in that area. Any non-compliance would be documented and included too. We endeavour to use lessons learned from complaint handling to improve our processes procedures and tenant engagement/communication.<br><br>All relevant information in this respect is shared with the executive management team and the board. |                          |
| 9.7            | As a minimum, the MRC and the governing body (or equivalent) must receive:<br>a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;<br>b. regular reviews of issues and trends arising from complaint handling;<br>c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and<br>d. annual complaints performance and service improvement report. | YES              | The member responsible for complaints would receive regular updates on volumes, progression and handling of complaints. We would review any trends or recurring lessons as outcomes of complaints. We issue an annual complaints performance report as published on our website.                                                                                                                             |                          |

## APPENDIX A: SELF-ASSESSMENT FORM

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Comply: Yes / No | Evidence                                                                                                      | Commentary / explanation |
|----------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|---------------------------------------------------------------------------------------------------------------|--------------------------|
| 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 as set by any relevant professional body.</li> </ul> | YES              | All staff are aware that we are all responsible for the correct handling of complaints as per our procedures. |                          |