

Self-assessment form – Complaints Handling Code

This self-assessment form should be completed by the complaints officer and it must be reviewed and approved by the landlord's governing body at least annually.

Once approved, landlords must publish the self-assessment as part of the annual complaints performance and service improvement report on their website. The governing body's response to the report must be published alongside this.

Landlords are required to complete the self-assessment in full and support all statements with evidence, with additional commentary as necessary.

We recognise that there may be a small number of circumstances where landlords are unable to meet the requirements, for example, if they do not have a website. In these circumstances, we expect landlords to deliver the intentions of the Code in an alternative way, for example by publishing information in a public area so that it is easily accessible.

Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	A complaint must be defined as: <i>‘an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.’</i>	Yes	The wording is included in our Complaint Policy and Procedure. Evidence: Section 4 – What is a Complaint?	
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	We advise the tenants or their representative that where there is a service failure, they have a right to make a complaint. Evidence: Section 4 - What is a complaint?	
1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be	Yes	Our Complaints Policy and Procedure defines what is a service request and what is a complaint. All service requests are monitored by our customer relationship manager CRM.	

	recorded, monitored and reviewed regularly.		Evidence: Section 4 - What is a complaint?	
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	<p>The Complaints Policy and Procedure informs our tenants that any dissatisfaction with a service request can be taken as a formal complaint.</p> <p>Evidence: Section 4 - What is a complaint?</p>	
1.6	An expression of dissatisfaction with services made through a survey is not defined as a complaint, though wherever possible, the person completing the survey should be made aware of how they can pursue a complaint if they wish to. Where landlords ask for wider feedback about their services, they also must provide details of how residents can complain.	Yes	<p>Reference to our Complaints Policy and Procedure is made during the survey.</p> <p>Evidence: During our satisfaction surveys, the surveyor informs tenants that they have the option to pursue a complaint if they wish to do so.</p>	

Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.1	Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint they must be able to evidence their reasoning. Each complaint must be considered on its own merits	Yes	Our Complaints Policy and Procedure includes a comment, the complainant will be advised of the reason(s) (why their complaint was rejected) Evidence: Section 16 - What can't I complain about?	
2.2	<p>A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> • The issue giving rise to the complaint occurred over twelve months ago. • Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. 	Yes	<p>Our Complaints Policy and Procedure includes a section on what a complainant can't complain about which includes the 3 bullet points.</p> <p>Evidence: Section 16 - What can't I complain about?</p>	

	<ul style="list-style-type: none"> • Matters that have previously been considered under the complaints policy. 			
2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.	Yes	<p>Our Complaints Policy and Procedure states that complaints should be made within 12 months of the complainant knowing of a Service Failure. It also includes a statement of how we would treat complaints not made within this timescale.</p> <p>Evidence: Section 10 – How long do I have to make a complaint? and Section 16 - What can't I complain about?</p>	
2.4	If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman. If the Ombudsman does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.	Yes	<p>Complaints Policy and Procedure included a comment that for each rejected complaint, the complainant will be advised of the reason why their complaint was rejected.</p> <p>Evidence: Section 16 - What can't I complain about?</p>	
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Our Complaints Policy and Procedure states that each complaint will be considered on its merit.	

			Evidence: Section 16 - What can't I complain about?	
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Section 3: Accessibility and Awareness

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
3.1	Landlords must make it easy for residents to complain by providing different channels through which they can make a complaint. Landlords must consider their duties under the Equality Act 2010 and anticipate the needs and reasonable adjustments of residents who may need to access the complaints process.	Yes	<p>We accept complaints by email, in writing, by telephone, in person, through Shian HA's website, social media or via a representative.</p> <p>Our Complaints Policy and Procedure includes a section on reasonable adjustment.</p> <p>Evidence: Section 23 – Reasonable adjustments</p>	
3.2	Residents must be able to raise their complaints in any way and with any member of staff. All staff must be aware of the complaints process and be able to pass details of the complaint to the appropriate person within the landlord.	Yes	<p>Any member of staff can accept a complaint and they are aware of our complaint procedure.</p> <p>Evidence: Section 8 – How to make a complaint.</p>	
3.3	High volumes of complaints must not be seen as a negative, as they can be indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a	Yes	<p>We widely advertise our complaint procedure via our newsletter, website, and tenant's handbook.</p>	

	sign that residents are unable to complain.		<p>We developed an accessible guide on how to make a complaint.</p> <p>Evidence: Complaints Procedure and Accessible guide is on our website.</p>	
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	<p>Complaint Policy and Procedure include information on how the complaint will be handled and includes information about each stage.</p> <p>Evidence: Section 11 – How will the complaint be handled?</p>	
3.5	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.	Yes	<p>Complaint Policy and Procedure include information on how we will advertise the policy and include information and a link to HOS website.</p> <p>Evidence: Section 12 – Taking a complaint to the Housing Ombudsman.</p>	
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or	Yes	This is explained in our Complaints Policy and Procedure.	

	accompanied at any meeting with the landlord.		Evidence: Section 7 – Who can complain?	
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	<p>This is explained in our Complaints Policy and Procedure.</p> <p>Evidence: Section 11 – How will the complaint be handled?</p> <p>Section 12 – Taking a Complaint to the Housing Ombudsman</p> <p>Section 14 – Complaints taking too long to resolve.</p>	

Section 4: Complaint Handling Staff

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
4.1	Landlords must have a person or team assigned to take responsibility for complaint handling, including liaison with the Ombudsman and ensuring complaints are reported to the governing body (or equivalent). This Code will refer to that person or team as the 'complaints officer'. This role may be in addition to other duties.	Yes	<p>We are a relatively small RSL. whilst we do not have a dedicated Complaints Officer, our Operations Director has overall responsibility to monitor complaints and is the main point of contact for HOS and reports all complaints to the Board.</p> <p>Evidence: Section 24 – Monitoring and learning from complaints.</p>	
4.2	The complaints officer must have access to staff at all levels to facilitate the prompt resolution of complaints. They must also have the authority and autonomy to act to resolve disputes promptly and fairly.	Yes	See comments in 4.1 which indicates that we have a senior member of staff monitoring all complaints.	
4.3	Landlords are expected to prioritise complaint handling and a culture of learning from complaints. All relevant staff must be suitably trained in the importance of complaint handling. It is important that complaints are seen as a	Yes	All staff receives regular internal training and webinars on complaint handling.	

	core service and must be resourced to handle complaints effectively			
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Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.	Yes	We have a single Complaints Policy and Procedure. Evidence: Complaint policy and procedure.	
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	Our Complaints Policy and Procedure only includes two stages process. Evidence: Complaint policy and procedure.	
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	Our Complaints Policy and Procedure only includes two stages process. Evidence: Complaint policy and procedure.	
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	Yes	Our Complaints Policy and Procedure explains that any complaints relating to a 3 rd party will be investigated using our Complaint Procedure.	

	this Code. Residents must not be expected to go through two complaints processes.		Evidence: Section 6 – Complaint Procedure.	
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	All complaints are investigated by Shian. Evidence: Section 6 – Complaint Procedure.	
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	When we log a complaint, we register <ul style="list-style-type: none"> - detailed explanation of the complaint - outcome the complainant is seeking - This is also outlined in our acknowledgment correspondence. Evidence: Complaint template letters complies with this.	
5.7	When a complaint is acknowledged at either stage, landlords must be clear which aspects of the complaint they are, and are not, responsible for and clarify any areas where this is not clear.	Yes	When responding to a complaint, we will include <ul style="list-style-type: none"> - detailed explanation of their complaint - the area(s) that we are dealing with. Evidence: Complaint template letters comply with this.	

5.8	<p>At each stage of the complaints process, complaint handlers must:</p> <ul style="list-style-type: none"> a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully. 	Yes	<p>All staff members receive regular training internally and attend webinars on complaint handling.</p>	
5.9	<p>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.</p>	Yes	<p>Our Complaints Policy and Procedure included information on agreeing on a complaint extension.</p> <p>Evidence: Section 11 – How will the complaint be handled?</p>	
5.10	<p>Landlords must make reasonable adjustments for residents where appropriate under the Equality Act 2010. Landlords must keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review.</p>	Yes	<p>Our Complaints Policy and Procedure includes information on reasonable adjustments.</p> <p>Evidence: Section 23 – Reasonable Adjustment.</p>	

5.11	Landlords must not refuse to escalate a complaint through all stages of the complaints procedure unless it has valid reasons to do so. Landlords must clearly set out these reasons, and they must comply with the provisions set out in section 2 of this Code.	Yes	<p>Where complainants have a valid reason to escalate a complaint, they can do so.</p> <p>Where we do not agree to escalate a complaint, we will provide the reasons why and advise the complainant of their right to approach the HOS.</p> <p>Evidence: Section 11 – How will the Complaint be handled?</p>	
5.12	A full record must be kept of the complaint, and the outcomes at each stage. This must include the original complaint and the date received, all correspondence with the resident, correspondence with other parties, and any relevant supporting documentation such as reports or surveys.	Yes	<p>We record all communication in our Housing Management CRM system which issues an automatic Complaint reference number.</p>	
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	<p>We ensure that complaints are handled quickly and efficiently, making sure any changes to the service required are put in place.</p> <p>Evidence: Section 13 – Key questions when considering remedies.</p>	
5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents	Yes	<p>We have an Unacceptable Behaviour Policy.</p>	

	and/or their representatives. Landlords must be able to evidence reasons for putting any restrictions in place and must keep restrictions under regular review.		Evidence: Unacceptable Behaviour Policy is located on our website.	
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	Evidence: Unacceptable Behaviour Policy is located on our website.	

Section 6: Complaints Stages

Stage 1

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.1	Landlords must have processes in place to consider which complaints can be responded to as early as possible, and which require further investigation. Landlords must consider factors such as the complexity of the complaint and whether the resident is vulnerable or at risk. Most stage 1 complaints can be resolved promptly, and an explanation, apology or resolution provided to the resident.	Yes	<p>We review all complaints to determine if we have sufficient information to provide an immediate response or it needs further investigation. We also take into account through our CRM any known vulnerabilities of the claimant.</p> <p>Evidence: Complaint Policy and Procedure</p>	
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <u>within five working days of the complaint being received.</u>	Yes	<p>Our Complaints Policy and Procedure outlines that the complaint should be acknowledged and defined in five working days.</p> <p>Evidence: Section 11 – How will the Complaint be handled?</p>	
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Our complaint procedure outlines that a full response to a Stage 1 complaint should be made within ten working days unless it	

			<p>requires an extension due to the complexity of the complaint.</p> <p>Evidence: Section 11 – How will the Complaint be handled?</p>	
6.4	<p>Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident.</p>	Yes	<p>Our Complaints Policy and Procedure outlines that a full response to Stage 1 complaint should be made within ten working days.</p> <p>Where an extension is required, we will always the complainant of the reason for the extension and the length of the extension. Normally, we expect this to be no more than 10 working days.</p> <p>Evidence: Section 11 – How will the Complaint be handled?</p>	
6.5	<p>When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.</p>	Yes	<p>This is included in the Complaints Policy and Procedure where extensions are made.</p> <p>Evidence: Section 11 – How will the Complaint be handled?</p>	
6.6	<p>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</p>	Yes	<p>Our Complaints Policy and Procedure outlines headings/actions that must be included in the response letter.</p>	

	the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.		<p>Our complaints are handled quickly and efficiently, making sure any changes to the service required are put in place.</p> <p>Any actions proposed or agreed upon will be monitored by the designated officer and with updates provided to the complainant.</p> <p>Evidence: This information is included in Complaint response letters.</p>	
6.7	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	It is standard practice to make reference to relevant policies and procedures. These policies and procedures are based on our legal obligations and relevant best practices.	
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	Yes	Our Complaints Policy and Procedure highlights that any additional information relating to the initial complaint will be incorporated into the Stage 1 response. Unless the new reported are unrelated then they will be treated as a separate complaint.	

	delay the response, the new issues must be logged as a new complaint.		Evidence: Section 14 – Complaints taking too long to resolve.	
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response. 	Yes	Our Complaints Policy and Procedure highlights that these headings must be included in our response letters.	

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	This process forms part of our Complaints Policy and Procedure. Evidence: Section 11 – How will the Complaint be handled?	
6.11	Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaints procedure	Yes	This process forms part of our Complaints Policy and Procedure.	

	within five working days of the escalation request being received.		Evidence: Section 11 – How will the Complaint be handled?	
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	This process forms part of our Complaints Policy and Procedure. Evidence: Section 11 – How will the Complaint be handled?	
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	This is outlined in our Complaints Policy and Procedure. Evidence: Section 11 – How will the Complaint be handled?	
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	Our Complaints Policy and Procedure outlines that a full response to a Stage 2 complaint should be made within 20 working days, unless it requires an extension due to the complexity of the complaint. Evidence: Section 11 – How will the Complaint be handled?	
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,	Yes	Our Complaints Policy and Procedure outlines that a full response to a Stage 2 complaint should be made within 20 working days, unless it requires an extension due to the complexity of the complaint.	

	and the reason(s) must be clearly explained to the resident.		<p>Where an extension is required, we will always the complainant of the reason for the extension and the length of the extension. Normally, we expect this to be no more than 20 working days.</p> <p>Evidence: Section 11 – How will the Complaint be handled?</p>	
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	<p>This is included in the Complaints Policy and Procedure where extensions are made.</p> <p>Evidence: Section 11 – How will the Complaint be handled?</p>	
6.17	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes	<p>This is included in the Complaints Policy and Procedure where extensions are made.</p> <p>Evidence: Section 11 – How will the Complaint be handled?</p>	
6.18	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	<p>It is standard practice to make reference to relevant policies and procedures. These policies and procedures are based on our legal obligations and relevant best practices.</p>	

			Evidence: Section 11 – How will the Complaint be handled?	
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: <ul style="list-style-type: none"> a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied. 	Yes	Our Complaints Policy and Procedure highlights that these headings must be included in our response letters.	
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Any investigation will involve relevant staff members. Before a final response is sent out it is normal practice to discuss with the Managing Director.	

Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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7.1	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; • Taking action if there has been delay; • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; • Providing a financial remedy; • Changing policies, procedures or practices. 	Yes	These heading plus a number of others form part of our Complaints Policy and Procedure.	
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	<p>Our Complaints Procedure refers to rectification, goodwill gesture, and financial contribution.</p> <p>Evidence: Section 15 – Goodwill Compensation Payment</p>	
7.3	The remedy offer must clearly set out what will happen and by when, in agreement with the resident where appropriate. Any remedy proposed must be followed through to completion.	Yes	How we should respond in closing a complaint is outlined in our Complaints Policy and Procedure.	

			Evidence: Section 17 – Closing Complaints.	
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	<p>We have a Goodwill and Compensation Policy</p> <p>Evidence: Goodwill and Compensation Policy is located on our website.</p>	

Section 8: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. 	Yes	<p>Quarterly cumulative qualitative and quantitative are provided to the Board. Similar report is provided to the Senior Management Team and redacted reports are provided to our Scrutiny Panel. In addition any formal interaction with HOS is reported to the Board.</p>	

8.2	The annual complaints performance and service improvement report must be reported to the landlord's governing body (or equivalent) and published on the on the section of its website relating to complaints. The governing body's response to the report must be published alongside this.	Yes	<p>It is our normal practice to publish our complaints performance in our annual report and newsletters which are available on our website. The governing body's response to our overall performance is included in our annual report.</p> <p>Evidence: The Complaints performance report to be uploaded on HOS website annually.</p>	
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	We carry out an annual self-assessment. In the event of any significant changes, we will bring forward the self-assessment.	
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	Noted and agreed.	
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 will be covered under our Disaster Recovery Procedure.	

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	This is included in our Complaints Policy and Procedures.	
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	This is encouraged through internal and external training plus open discussion with the team and partnership and attendance with other RSLs forums.	
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	See comments above. Specifically, a Senior Manager of Shian Team and tenants are members of a London-wide Tenants Forum where best and poor practices are discussed. In addition, we have a tenant-led Scrutiny panel with staff service.	
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,	Yes	The Operations Director is responsible for this.	

	serious risks, or policies and procedures that require revision.			
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	Shian's Vice Chair is responsible for this.	
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	The Vice Chair has access to both Managing Director and the Operations Director.	
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with	Yes	See Comment in 8.1	

	orders related to severe maladministration findings; and d. annual complaints performance and service improvement report.			
9.8	Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to: a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments; b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and c. act within the professional standards for engaging with complaints as set by any relevant professional body.	Yes	This is included in our Complaints Policy and Procedure.	