

Appendix A: Self-assessment form

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

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

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

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

Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	A complaint must be defined as: <i>'an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.'</i>	√	AHS's: Resolving Complaints Policy (2.1)	AHS uses Housing Ombudsman's definition.
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 a complaint. A complaint that is submitted via a third party or representative must be handled in line with the landlord's complaints policy.	√	AHS's: Resolving Complaints Policy (2.2 & 2.'3)  Complaint recieved 13.11.24.msg	Our Resolving Complaints Policy reflects this. In this complaint, the care provider has listed issues that they have experienced with several repairs and the impact this has had on the customers. The care provider starts their communication by stating they have some 'concerns'. We have treated this as 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	√	AHS's: Resolving Complaints Policy (2.4 & 2.5) Service Request Tracker - saved on the Complaints Tracker (2 nd Tab).	AHS's policy includes details of this. AHS also log service requests via our Complaints Tracker. A service request policy is being developed and will be presented to the

	recorded, monitored and reviewed regularly.			board for their approval in the first quarter of 2026.
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.	√	AHS's: Resolving Complaints Policy (2.6) Complaints and Service Requests Tracker.  Email acknowledgement - 1'	Our Resolving Complaints Policy reflects this. REF: AHS00082 Concerns were raised around the service delivery- pests, white goods and the gardeners not doing their job following dissatisfaction with the way a service request was being handled.
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.	√	AHS's: Resolving Complaints Policy (2.7)	Our Resolving Complaints Policy reflects this. Our TSM surveys have been updated to include details and reminding the customer of their right to complain should they be dissatisfied with our services.

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	√	AHS's: Resolving Complaints Policy (5.1 – 5.3)	REF: AHS00072 Is an example of a complaint not being upheld on the basis that complainant does not have consent from the customer

	reasoning. Each complaint must be considered on its own merits		 AHS Outcome Letter - 19.11.24.pdf	to make a complaint on their behalf. AHS has responded to the complainant to make them aware of the reasons in which their complaint will not be investigated further.
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. • Matters that have previously been considered under the complaints policy. 	√	AHS's: Resolving Complaints Policy (5.1)	
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.	√	AHS's: Resolving Complaints Policy (5.3)  Email complaint and response - 10.06.24.r	Attached example of a complaint received after 12 months of the customer moving out. I.e. the customer left the property on 15/11/2021 and did not make contact with AHS until 07/06/2021. Further to this, the property was no longer under the management of AHS.
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	√	AHS's: Resolving Complaints Policy (5.2)	

	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.			
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	√	Lessons Learned AHS's: Resolving Complaints Policy (5.4)	

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.	√	<p>The AHS website has a link for complaints.</p> <p>AHS App with a link to make a complaint</p> <p>Can also report a complaint via email, post or telephone as advertised and detailed within Policy</p>	<p>The website is currently being developed and updated to create an easier route to reporting a complaint. At present, the link to complain is not clear, it is displayed at the very bottom of the webpage. AHS will make a very clear option on the homepage and a tab to direct the customer to the complaints easily.</p> <p>Customers can make complaints via our Housing Officers when they are visiting the property or request a visit from them.</p> <p>The easy-read handbook includes details as to how a customer can complain.</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.	√	<p>All relevant staff have completed complaints training covering the following:</p> <ul style="list-style-type: none"> • Complaint Handling Code • Dispute Resolution • Applying Dispute Resolution 	<p>Any new staff are to complete the training as part of their Induction program.</p>
3.3	High volumes of complaints must not be seen as a negative, as they can be	√	Board Reports and KPIs Lessons Learnt	Complaints are reported to the Board quarterly via our Performance Measures

	indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.			report. This is reported on a quarterly basis. Complaints are also discussed at internal managers meetings every 4 weeks.
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.	√	AHS Easy Read Handbook Newsletters Website At the point of sign-up, Housing Officers explain the process in depth with the customer and leave them with a copy.	
3.5	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.	√	AHS's: Resolving Complaints Policy (13.1)	
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.	√	AHS's: Resolving Complaints Policy (2.3)  Initial Complaint 23.07.2025.pdf	
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.	√	AHS's: Resolving Complaints Policy (7.1 – 7.3)	Our Resolving Complaints Policy reflects this. Our template letters are used as Standard to respond to customers. Details of the Housing Ombudsman is made available at the point of acknowledgement, should the customer require advice and within the outcome response.

			 Stage 1 Complaints Outcome Letter Temp	
			 Stage 1 Complaints Acknowledgement Let	
			 Stage 2 Complaints Acknowledgement Let	
			 Stage 2 Complaints Outcome Letter Temp	

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.	√	Complaints Officer is in place (Customer Engagement Officer) and detailed within the Resolving Complaints Policy at Section 6.3	
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.	√	All complaints are processed via a complaint's inbox, and the complaints officer works with relevant staff to ensure that complaints are effectively resolved in a timely manner.	AHS has identified that all new starters must complete complaints training as part of their induction program to further enhance the effectiveness of our complaints process.
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	√	<p>Team designated to handling complaints in addition to the Complaints Officer</p> <p>All Housing Officers, members within the Improvement Team and Complaints Officer have been completed training in the following:</p> <ul style="list-style-type: none"> • Complaint Handling Code • Dispute Resolution 	<p>All new members to AHS must complete the training as part of their induction programme.</p> <p><i>Complaint REF: AHS00085</i> The lessons we have learned here is to monitor the progress of repairs and maintenance jobs that have been logged in between a Housing Officers site visits and to update our site survey so that the Housing Officers are recording more details</p>

			<ul style="list-style-type: none"> Applying Dispute Resolution <p>Details of lessons learned are recorded and reported to board, senior managers. Customers also receive this as part of their complaint outcome response.</p>	concerning the condition of the property on each visit.
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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.	√	AHS's: Resolving Complaints Policy (2.8)	
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.	√	AHS's: Resolving Complaints Policy (6.2) details our two-stage approach in line with the Ombudsman Code. Template letters	
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.	√	AHS's: Resolving Complaints Policy (6.2)	

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.	√	AHS: Resolving Complaints Policy (8.3)	To improve the handling of complaints by third parties, AHS has now employed a Senior Housing Officer, who is responsible for liaison with Managing Agents on complaints. Our Resolving Complaints Policy reflects this.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	√	AHS: Resolving Complaints Policy (8.2)	As above
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.	√	Stage 1 & 2 Acknowledgement Letters  Acknowledgement Letter.docx	Detailed within the acknowledgement letters.
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.	√	Stage 1 & 2 Acknowledgement Letters  Initial Complaint.pdf  Follow up complaint.pdf	REF: AHS00097 This complaint was about rubbish, and debris left in a garden after a property had been unoccupied for a long time. It was clarified that whilst AHS was not responsible for clearing the full garden, we would do so if requested though this would involve a recharge.
5.8	At each stage of the complaints process, complaint handlers must:	√	Complaints Tracker Complaints Training	The Customer Engagement Officer is responsible for ensuring that

	<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. 			complaints are dealt with appropriately and effectively and this includes reviewing the way complaints are handled, supporting staff, developing and delivering training and enhancing reporting systems.
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.	√	<p>AHS: Resolving Complaints Policy (6.6 & 6.13)</p>  <p>Email complaint and response - 10.06.24.r</p>	Attached example of a complaint received after 12 months of the customer moving out. I.e. the customer left the property on 15/11/2021 and did not make contact with AHS until 07/06/2021. Further to this, the property was no longer under the management of AHS.
5.10	Landlords must make reasonable adjustments for residents where appropriate under the Equality Act 2010. Landlords must keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review.	X	An Equality Impact Assessment has been undertaken on the Resolving Complaints Policy.	AHS commissioned a self-assessment on our Compliance with the Regulator of Social Housing's Consumer Standards by an external agency, which recommended a review of our Equality and Diversity Policy. An action to complete this is included in the attached Improvement Plan.
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	√	AHS: Resolving Complaints Policy (5.1 – 5.3 & 6.10)	Policy includes Exclusions to a complaint being considered.

	comply with the provisions set out in section 2 of this Code.			
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.	√	Complaints tracker and correspondence	All correspondence, documentation, evidence associated with a complaint is filed in accordance with GDPR regulations.
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.	√	AHS: Resolving Complaints Policy (6.1, 6.4, 6.12)	
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.	√	AHS: Resolving Complaints Policy (10.1 – 10.3) Managing Unreasonable Behaviour Policy	
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.	√	Managing Unreasonable Behaviour Policy	

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.	√	Complaints Officer AHS: Resolving Complaints Policy (6.4 – 6.8)	AHS has a designated Complaints Officer who is responsible to acknowledging and leading on investigations for complaints. The Complaints officer has access to all staff to respond promptly.
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>	√	AHS: Resolving Complaints Policy (6.3) Complaints Tracker	The complaints tracker is updated once a complaint has been received with the details of the lead officer and dates for acknowledgement.
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	√	AHS: Resolving Complaints Policy (6.5) Complaints Tracker	The complaints tracker is updated with details of the due date for the response and completed date.
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	√	AHS: Resolving Complaints Policy (6.6)	The policy states that the deadlines at both Stages will not be extended without good reason or agreement of both parties. An example of an email requesting an extension has been included.

	reason(s) must be clearly explained to the resident.		 Email - Extension 31.03.25.msg Extension Letter Template	AHS has introduced template exclusion letters which are now used as a standard response when this request is being made.
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.	√	AHS: Resolving Complaints Policy (6.6) Exclusion Letter Template	
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.	√	Letter templates Complaints Tracker  Stage 1 Complaint Outcome 31.07.2025.f	AHS has template letters on file for all correspondence that is required (Acknowledgement/ Stage 1 & 2 Outcomes) to ensure the relevant information is included and details are not omitted.
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.	√	Complaints Tracker Letter templates	AHS has template letters on file for all correspondence that is required (Acknowledgement/ Stage 1 & 2 Outcomes) to ensure the relevant information is included and details are not omitted.
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	√	AHS: Resolving Complaints Policy (6.7 & 6.8)	

	issues must be logged as a new complaint.			
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response. 	√	AHS: Resolving Complaints Policy (6.9) Letter templates	AHS has template letters on file for all correspondence that is required (Acknowledgement/ Stage 1 & 2 Outcomes) to ensure the relevant information is included and details are not omitted.

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.	√	AHS: Resolving Complaints Policy (6.10 & 6.16)	Both the policy and outcome letter for Stage 1, gives details to the next stage, should a customer be dissatisfied with our response.
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.	√	AHS: Resolving Complaints Policy (6.11) Complaints Tracker	Both the policy and Acknowledgment template letters confirm the 5-day timescale. This is also tracked on our complaint's tracker, with deadlines made clear so that this date is not missed.

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.	√	AHS: Resolving Complaints Policy (6.10)	
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	√	AHS: Resolving Complaints Policy (6.12) Complaints Tracker	All stage 2 complaints must be investigated by the manager of the investigator (Complaints Officer) for Stage 1.
6.14	Landlords must issue a final response to the stage 2 within 20 working days of the complaint being acknowledged.	√	AHS: Resolving Complaints Policy (6.12) Complaints tracker	
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.	√	AHS: Resolving Complaints Policy (6.13)	
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.	√	AHS: Resolving Complaints Policy (6.13) Extension Letter Template	

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.	√	AHS: Resolving Complaints Policy (6.14) Complaints Tracker	Template letters give details on the information that should be provided at each stage of the complaint process in accordance with the policy that follows the regulations of the Housing Ombudsman's Complaints Handling Code, 2024. The tracker is also kept up to date with any actions that are outstanding.
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.	√	AHS: Resolving Complaints Policy (6.14)	As above
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: a. the complaint stage. b. the complaint definition. c. the decision on the complaint. d. the reasons for any decisions made. e. the details of any remedy offered to put things right. f. details of any outstanding actions, and g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.	√	AHS: Resolving Complaints Policy (6.14)	Template letters give details on the information that should be provided at each stage of the complaint process in accordance with the policy that follows the regulations of the Housing Ombudsman's Complaints Handling Code, 2024.
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	√	AHS: Resolving Complaints Policy (6.12)	

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Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> • 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. 	√	<p>AHS: Resolving Complaints Policy (6.15) Outcome Letters – Acknowledgement letter template Compensation Policy Lessons Learned</p>  <p>Complaint Outcome Letter - 18.06.24..docx</p>	Complaint Example attached demonstrates that AHS has acknowledged our services could be improved and has apologised and offered a voucher as a goodwill gesture.
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	√	AHS's Compensation Policy	As referenced within the Resolving Complaints Policy, any compensation will be considered in line with AHS's Compensation Policy
7.3	The remedy offer must clearly set out what will happen and by when, in agreement with the resident where appropriate. Any	√	AHS's Compensation Policy	As referenced within the Resolving Complaints Policy, any compensation will be considered in line with AHS's Compensation Policy

	remedy proposed must be followed through to completion.			
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	√	AHS's Compensation Policy	As referenced within the Resolving Complaints Policy, any compensation will be considered in line with AHS's Compensation Policy. The Compensation Policy is in accordance with the Housing Ombudsman's guidance.

Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> 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. 	√	Performance and Service Improvement Plan	AHS conducted a self-assessment earlier in 2025, which included external validation of our complaints policy and procedure. The findings have informed our Improvement Plan which has also been approved by Board. Performance is tracked via our Improvement Plan.
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.	√	Website Previous years' submissions are available online.	To include the governing bodies response to the report alongside the annual complaint's performance and service improvement report.

	The governing body's response to the report must be published alongside this.			
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	√	No changes in staff structure or merger have occurred.	
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	√		Not applicable
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.	√		No exceptional circumstances have occurred.

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.	√	Lessons Learned - Complaints tracker	<u>REF: AHS00099</u> Changed complaints form on website to use complaints email address instead of info email address. Also updated info email box to prevent emails being sent to 'junk' before they could be actioned.
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.	√	Lessons Learned	Complaints tracker
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.	√	AHS: Resolving Complaints Policy (13.1) Board Papers Annual service improvement plan  Spring Newsletter.pdf  Summer - July 2024.pdf	Summer 2024 Newsletter gives details to customers on how to complain and any updates that may have occurred. The Spring 2025 Newsletter gives customers a breakdown of the complaints received, alongside any trends and the number of complaints that have either been upheld or not.

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.	√	Complaints Officer is in post  Spring Newsletter.pdf	The Spring 2025 Newsletter demonstrates our data collection on trends and themes of complaints.
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').	√	AHS: Resolving Complaints Policy (14.1) MRC is in post	MRC approved by the Board on 10 June 2025
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.	√	MRC is in post All complaints are reported to Board	Board members can access detailed information on complaints via a confidential shared drive.
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;	x	AHS: Resolving Complaints Policy (14.2) KPI reports to the Board that are presented at least once a quarter (but is often bi-monthly) is always inclusive of details	MRC appointed 10 June 2025 Service Improvement Plan includes an action to enhance how we interact with AHS's MRC and ensure the provision of appropriate information to both them and the Board.

	<ul style="list-style-type: none"> b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and d. annual complaints performance and service improvement report. 		concerning our complaints targets.	
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"> 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. 	√	<p>KPIs</p> <p>AHS: Resolving Complaints Policy (14.1 & 15.2)</p> <p>All Staff training and new starters have mandatory complaints training as part of their induction program.</p>	<p>The training that has been carried out and is planned for any new starters, ensures that colleagues take collective responsibility and fostering a 'no blame' culture.</p>