

Appendix A: Self-assessment form

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

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

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

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

Section 1: Definition of a complaint

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|--|------------------|-----------------------------|--|
| 1.2 | A complaint must be defined as: <i>'an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.'</i> | Yes | Complaints Policy 7.1 | We have adopted the Housing Ombudsman's complaints 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 complaint. A complaint that is submitted via a third party or representative must be handled in line with the landlord's Complaints Policy. | Yes | Complaints Policy 7.2 & 2.3 | Any expression of dissatisfaction can be registered as a complaint. All staff are aware the word "complaint" does not have to be used. |
| 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 | Complaints Policy 6.1–6.3 | Complaints Policy gives examples of when a service request is not a complaint. Staff are trained to understand the action required to facilitate service requests and how to escalate them if the requests remain unresolved. These are recorded, monitored and reviewed through monthly KPI meetings. |

| | | | | |
|-----|--|-----|---|--|
| 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 | Complaints Policy 6.2 | Any resident unhappy with the outcome of a service request will be asked if they would like the matter to be considered at stage 1 of our complaint process. |
| 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 | Ability to do this via annual customer feedback surveys | Surveys are scored 1 – 5, respondents with a low score (1 & 2) are advised how they can make a complaint. |

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 | Complaints Policy 2.7–2.9 | Every complaint is considered on the individual circumstances. If a complaint is refused a detailed explanation will be provided. |
| 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. | Yes | Complaints Policy 2.8 & 2.9 | Reasons for not accepting a complaint are set out in the Complaints Policy. These reasons include issues over 12 months old, where the matter is linked to legal proceedings, or where the matter has already been fully considered through our complaints process, the courts, or another legal process. |
| 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 | Yes | Complaints Policy 2.8 | Issues that have occurred within the previous 12 months will be considered unless there is good reason not to do so. Examples provided. |

| | | | | |
|-----|--|-----|----------------------------|---|
| | whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so. | | | |
| 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 | Complaints Policy 2.9–2.10 | A detailed explanation will be provided if a complaint is not accepted and will include the advice that they have the right to take their issue to the Ombudsman. This is recorded on our system. |
| 2.5 | Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint. | Yes | Complaints Policy 2.7 | All complaints are considered on their individual circumstances, and a blanket approach will not be taken. |

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 | Complaints Policy 7.4.1 & 7.5.1 | Advice on how to make a complaint is regularly promoted and a wide number of communication channels are available to do so. Our Complaints Officer will identify whether any reasonable adjustments will be required as part of registering a complaint. |
| 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 | Complaints Policy 7.4.1 | Confirms the variety of ways to complain, including in person. All staff are provided with training on taking individual responsibility for complaints. |
| 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 | Complaints Policy 4.1 | The policy introduction confirms that complaints are welcomed. |
| 3.4 | Landlords must make their complaint Complaints 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 Complaints Policy | Yes | Complaints Policy 2.6 & 4.2 | Policy details the two-stage complaints process and timescales involved. It is published on the website. |

| | | | | |
|-----|--|-----|---------------------------------------|---|
| | must also be published on the landlord's website. | | | |
| 3.5 | The Complaints Policy must explain how the landlord will publicise details of the Complaints Policy, including information about the Ombudsman and this Code. | Yes | Complaints Policy 4.2 & 7.7.1 | The Complaints Policy is available on the website. The Ombudsman's details are publicised, including information on the Complaint Handling Code under 'Putting Things Right' in our policy section. |
| 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 | Complaints Policy 2.3 & 9 | We accept complaints from representatives who can, with the person's authorisation, act on their behalf. |
| 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 | Complaints Policy 7.4.2, 7.6.1, 7.6.2 | All documents, including complaint related letters, and the website provide information on residents' right to access and engage with the Ombudsman at any point in the complaint process. |

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 | Complaints Policy 5.4, We have a Complaints Officer in place to coordinate complaints handling across Oak Housing. | The complaints officer is managed by the Chief Executive Officer who is responsible for performance reports and who acts as the lead liaison with the Ombudsman. |
| 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 | Complaints Policy 7.5.1 & 11 | The Complaints Officer liaises with all staff at all levels to assist the facilitation of prompt and fair resolution of 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 core service and must be resourced to handle complaints effectively | Yes | Complaints Policy 1.1, 11 & 17 | Staff dealing with complaints must undertake the Ombudsman's Dispute Resolution Training E-learning modules. Complaints are viewed as a core operational service, with our customers facing staff aware of the importance of effective complaint handling. |

Section 5: The Complaint Handling Process

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|---|------------------|---------------------------------|---|
| 5.1 | Landlords must have a single Complaints Policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain. | Yes | Complaints Policy 8 | One process applies to all complaints. |
| 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 | Complaints Policy 6 | We operate a two-stage Complaints Policy. We recognise that a service request may enable an issue to be resolved there and then, though the matter can also be considered under stage 1 (the first stage of the complaint process). |
| 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 | Complaints Policy 2.6 | Two-stage process 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 | Complaints Policy 2.5 | Third party contractors are not responsible for handling complaints but for supporting investigations following a complaint. Overall ownership remains with Oak Housing for ensuring all aspects of the complaint are responded to. |
| 5.5 | Landlords are responsible for ensuring that any third parties handle complaints in line with the Code. | Yes | Complaints Policy 2.5 | Contractors support investigations but Oak leads. |
| 5.6 | When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set | Yes | Complaints Policy 7.5.1 & 7.6.2 | The Policy requires us to confirm our understanding of |

| | | | | |
|-----|---|-----|---|--|
| | <p>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.</p> | | | <p>the issues upon receipt of a complaint. The procedure confirms the complainant should be contacted to confirm details of the complaint and the outcome being sought. Our acknowledgement letters set out our understanding of the nature of the complaint. All response letters must set out details of the complaint and the outcome being sought.</p> |
| 5.7 | <p>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.</p> | Yes | Complaints Policy 7.5.1 | <p>The Policy states that upon receipt of a complaint we will confirm which aspects are Landlord responsibility and which are not.</p> |
| 5.8 | <p>At each stage of the complaints process, complaint handlers must:</p> <ol 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 | Complaints Policy 7.5.1 & 7.6.1 & 7.6.2 | <p>Each of these points are set out in our Policy and embedded into our processes and complaint handling culture.</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</p> | Yes | Complaints Policy 7.6.1 & 7.6.2 | <p>We will not extend our response timescales without good reason and if an extension is required an</p> |

| | | | | |
|------|--|-----|--------------------------------------|---|
| | suitable intervals for keeping them informed about their complaint. | | | explanation including suitable intervals for updates will be agreed with the complainant. |
| 5.10 | Landlords must make reasonable adjustments for residents where appropriate under the Equality Act 2010. Landlords must keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review. | Yes | Complaints Policy 7.5.1 & 9 | Our Complaints Officer and/or investigating officer will identify any vulnerabilities and ensure any reasonable adjustments are made. Any disabilities that have been disclosed will be recorded for future review and support. |
| 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 | Complaints Policy 7.6.2 & 2.9 & 2.10 | Complaints can be escalated through each stage of our process. If it is not appropriate to escalate, we will write to the complainant and explain the reasons why. |
| 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 | Complaints Policy 14 | All documentation relating to a complaint is recorded and stored in our system. A unique numbered case is opened when a complaint is received and all information relating to that complaint is stored against the case. |
| 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 | Yes | Complaints Policy 7.6.1 & 7.6.2 | We are committed to delivering a timely complaint handling service which seeks to provide an appropriate remedy at any |

| | | | | |
|------|---|-----|-------------------------|---|
| | provided at any stage of the complaints process without the need for escalation. | | | stage of the complaints process. |
| 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 | Complaints Policy 8 | We will manage persistent, abusive or unreasonable behaviour in line with the policy, and may put in place restrictions which must be evidence and agreed by a senior manager. Such restrictions are reviewed on a six-monthly basis. |
| 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 | Complaints Policy 8 & 9 | All decisions to introduce restrictions will be mindful of the Equality Act 2010. |

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 | Complaints Policy 7.5.1 | The principle of our complaint process is to consider all factors of the complaint to understand the issues and identify what actions may be needed to resolve the complaint 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> | Yes | Complaints Policy 7.6.1 | Our stage 1 complaints acknowledgement timescales are in line with the Complaint Handling Code. |
| 6.3 | Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged. | Yes | Complaints Policy 7.6.1 | Complaint responses will not be extended without good reason and for no more than ten working days. If an extension is required, the complainant will be advised and the reason for the extension provided and revised response date. |
| 6.4 | Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint | Yes | Complaints Policy 7.6.1 | Complaint responses will not be extended without good reason and for no more than |

| | | | | |
|-----|---|-----|-------------------------|--|
| | 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. | | | ten working days. If an extension is required, the complainant will be advised and the reason for the extension provided and revised response date. |
| 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 | Complaints Policy 7.6.1 | The details of any extension are provided in writing and includes contact details of the Ombudsman. |
| 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 | Complaints Policy 7.6.1 | The stage 1 response will set out any outstanding actions and include timescales for completion. These actions will be recorded against the complaint case and tracked until resolved. The responsible officer will provide regular updates. |
| 6.7 | Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant Complaints Policy, law and good practice where appropriate. | Yes | Complaints Policy 7.6.1 | The stage 1 response will outline details of the complaint and the reasons for the resolution offered. |
| 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 | Yes | Complaints Policy 7.6.1 | If additional issues are raised during the investigation, we will aim to incorporate these into the stage 1 response unless it will unreasonably delay the response. In such cases a new complaint will be logged. |

| | | | | |
|-----|---|-----|-------------------------|---|
| | 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. | Yes | Complaints Policy 7.6.1 | All complaint responses are provided in clear and plain language using the Ombudsman's best practice templates. They include all the points listed. |

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 | Complaints Policy section 7.6.2 | All complaint documents confirm that a stage 1 complaint can be progressed to stage 2 if the complainant is not happy with the stage 1 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. | Yes | Complaints Policy section 7.6.2 | Our stage 2 complaints acknowledgement timescales are in line with the Complaint Handling Code. |

| | | | | |
|------|---|-----|---------------------------------|--|
| 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 | Complaints Policy section 7.6.2 | Our Complaints Policy does not require a complainant to explain their reasons for requesting stage 2 escalation. We will endeavour to understand the reasons to facilitate a satisfactory outcome. |
| 6.13 | The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1. | Yes | Complaints Policy section 7.6.2 | A stage 2 review and response are carried out by a senior manager not previously involved in the complaint. |
| 6.14 | Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged. | Yes | Complaints Policy section 7.6.2 | Our stage 2 complaints response timescales are in line with the Complaint Handling Code. |
| 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 | Complaints Policy section 7.6.2 | Complaint responses will not be extended without good reason and for no more than twenty working days. If an extension is required, the complainant will be advised and the reason for the extension provided. |
| 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 | Complaints Policy section 7.6.2 | The details of any extension are provided in writing and includes contact details of the Ombudsman. |
| 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 | Yes | Complaints Policy section 7.6.2 | The stage 2 response will set out any outstanding actions and include timescales for completion. Any actions will be recorded against the complaint case and tracked until |

| | | | | |
|------|---|-----|---------------------------------|--|
| | with appropriate updates provided to the resident. | | | resolved. The responsible officer will provide regular updates. |
| 6.18 | Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant Complaints Policy, law and good practice where appropriate. | Yes | Complaints Policy section 7.6.2 | The stage 2 response will outline details of the complaint and the reasons for the resolution offered. |
| 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 | Complaints Policy section 7.6.2 | All complaint responses are provided in clear and plain language using the Housing Ombudsman's best practice templates. They include all the points listed. |
| 6.20 | Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response. | Yes | Complaints Policy section 7.6.2 | The senior manager carrying out the review will involve all relevant staff to enable them to issue a stage 2 final response that concludes the complaint satisfactorily. |

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. | Yes | Complaints Policy section 4.3 | Our approach towards handling customer complaints is designed to promote a positive complaint handling culture. Complaints are acknowledged, apologies and redress are offered, and lessons learnt are used to improve our service delivery. |
| 7.2 | Any remedy offered must reflect the impact on the resident as a result of any fault identified. | Yes | Complaints Policy sections 4.4, 4.5 & in Oak Housing Compensation and Remedies Policy | Remedies are based on the impact to the customer and set out in our Compensation and Remedies Policy which was reviewed to align it to the Housing Ombudsman remedies guidance. |
| 7.3 | The remedy offer must clearly set out what will happen and by when, in agreement with the resident where appropriate. Any | Yes | Complaints sections 7.6.1 & 7.6.2 | Our responses set out what has happened and list any actions that have been agreed and include timescales for |

| | | | | |
|-----|--|-----|-------------------------------|--|
| | remedy proposed must be followed through to completion. | | | completion. The response template prompts the requirement to clearly state these. Such actions will be recorded against the complaint case and tracked until resolved. The responsible officer will provide regular updates. |
| 7.4 | Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies. | Yes | Complaints Policy section 4.5 | The Ombudsman guidance has been considered on all processes in our complaints process, including appropriate remedies. |

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 Complaints 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 | On our website, 'Putting Things Right' | Annual self-assessment of the Complaint Handling Code will be published on the Oak Website. Complaint performance is produced quarterly and annually as part of the Oak Housing Board pack submitted by the CEO. Information is both qualitative and quantitative and includes details on the complaints received and any non-compliance with the Complaint Handling Code. Complaint information is included in our Annual Report. The first report was published in June 2024. |
| 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. | Yes | On our website, 'Putting Things Right' | The annual complaint performance and service improvement report is published on the Oak website |

| | | | | |
|-----|---|-----|---------------------------------|---|
| | The governing body's response to the report must be published alongside this. | | | complaints page "putting things right". |
| 8.3 | Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures. | Yes | Complaints Policy section 10 | The Policy confirms that a review will be undertaken if there is a significant change to our current operating model. |
| 8.4 | Landlords may be asked to review and update the self-assessment following an Ombudsman investigation. | Yes | We acknowledge this requirement | We are committed to continuous improvement and will undertake appropriate action to comply with the Code. |
| 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 | Complaints Policy section 10 | We will report any exceptional circumstances that may impact on our compliance with the Code to the Ombudsman and the Regulator of Social Housing. Updates relating to our ability to deliver the requirements of the code will be made available on the website. |

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 | Complaints Policy section 17 | Every complaint is considered for service improvement. Any learnings or improvements from a complaint are reported in the complaint response letter. These are collectively considered and included into service improvement plans. |
| 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 | Complaints Policy sections 15.2 & 17 | We analyse themes and trends and use feedback and lessons learnt from concerns, complaints, and compliments to improve service design and delivery. |
| 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 | Oak Housing External Website | We are compliant with the code as we report on complaints to the Board and have published the report on our website about complaints handling (including themes, etc.) is shared beyond just the Board and includes wider stakeholders. |
| 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 | Complaints Policy section 5.1 | The Chief Operating Officer is accountable for complaint handling and for assessing trends in performance. |

| | | | | |
|-----|--|-----|-------------------------------------|---|
| | | | | |
| 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 | Complaints Policy section 5.3 | The responsible lead from the Governing Body is the Chair of the Oak Housing Board. |
| 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 | Complaints Policy section 5.2 | The MRC has delegated responsibility to the Chief Executive Officer to provide adequate resources to ensure insight on complaint handling performance is available to the Board. |
| 9.7 | As a minimum, the MRC and the governing body (or equivalent) must receive: <ul style="list-style-type: none"> a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and d. annual complaints performance and service improvement report. | Yes | Complaints Policy section 15 | Quarterly reports are submitted to the Board, on complaint handling performance, issues and trends and updates on Ombudsman's investigations. Annual complaint performance is published on the Oak website. As noted under section 9.3 we are currently reviewing our reporting process to improve the quality of the information provided to ensure it meets the requirements of the code. |
| 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: | Yes | Complaints Policy sections 1.1 & 11 | All customer facing staff are adequately trained on the requirements of the Code. Objectives for the Corporate |

| | | | | |
|--|--|--|--|--|
| | <p>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</p> <p>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</p> <p>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</p> | | | <p>Complaints Team include objectives focussed on building a culture of positive complaint handling across the organisation. All staff are expected to take responsibility for complaints and work collaboratively with colleagues as part of their objectives to promote collective responsibility and ownership.</p> |
|--|--|--|--|--|