

## 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	Resolving Complaints Policy	Statement of 'What is a complaint' contained within our Resolving Complaints Policy (Section 2)
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	Resolving Complaints Policy	Statement of 'What is a complaint' contained within FHA's Resolving Complaints Policy (Section 2)
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	Resolving Complaints Policy	All service requests received are logged and monitored until completion.  All complaints and / or concerns will be handled in accordance with our Resolving Complaints Policy.

	recorded, monitored and reviewed regularly.			
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	Resolving Complaints Policy	'What is a complaint' contained within FHA Resolving Complaints Policy (Section 2)
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	Resolving Complaints Policy	All channels available to issue a complaint are included in our Resolving Complaints Policy (Section 5)

## 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	Resolving Complaints Policy	Exclusions statement contained within our Resolving Complaints Policy (Section 3)
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"> <li>• The issue giving rise to the complaint occurred over twelve months ago.</li> <li>• 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.</li> <li>• Matters that have previously been considered under the complaints policy.</li> </ul>	Yes	Resolving Complaints Policy	Exclusions statement contained within our Resolving Complaints Policy (Section 3)

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	Resolving Complaints Policy	Exclusions statement contained within our Resolving Complaints Policy (Section 3)
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	Resolving Complaints Policy	Exclusions statement contained within our Resolving Complaints Policy (Section 3)
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Resolving Complaints Policy	Exclusions statement contained within our Resolving Complaints Policy (Section 3)

### 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	Resolving Complaints Policy	All channels available on how to make a complaint are included in our Resolving Complaints Policy (Section 5).
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	Resolving Complaints Policy	All channels available on how to make a complaint are included in our Resolving Complaints Policy (Section 5). The policy is circulated and acknowledged as understood by all FHA employees.
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	Quarterly Board Reports	Complaint volumes monitored at quarterly board reports. Trends analysed to understand the ease of reporting complaints as well the service the complaint relates to.
3.4	Landlords must make their complaint policy available in a clear and accessible format for all residents. This	Yes	Resolving Complaints Policy	The policy is found at: <ul style="list-style-type: none"> <li>FHA office(s)</li> </ul>

	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.			<ul style="list-style-type: none"> <li>• Online <a href="http://www.falconha.org">www.falconha.org</a></li> <li>• Within the new tenant sign up pack</li> </ul> <p>If requested from a member of staff</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	Resolving Complaints Policy	Section 5.4 of the Resolving Complaints Policy
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any meeting with the landlord.	Yes	Resolving Complaints Policy	Statement included within How can a customer make a complaint (Section 5) of our Policy advising that FHA recognise that care providers, health professionals, appointees, advocates and family members of our tenants may have a need to make a complaint where a tenant may lack capacity
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	Resolving Complaints Policy	Statement is included in Complaints Process (Section 7). Policy outlines customer's right to contact the Ombudsman at any stage throughout the process or escalate on completion of the 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	Property Asset Manager – formally appointed to Complaints Officer	The role of the Complaints Officer sits within the responsibilities of the Property Asset Manager, who reports directly to the Chief Operating Officer and will monitor and ensure that the Policy is adhered to.
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	Property Asset Manager – formally appointed to Complaints Officer	The role of the Complaints Officer sits within the responsibilities of the Property Asset Manager, who reports directly to the Chief Operating Officer. This role has access to all staff and has the support of the Executive Leadership Team.
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	Resolving Complaints Policy	The Resolving Complaints Policy is circulated to all FHA staff with a discussion about the policy and the procedures within it in relevant team meetings. This includes ensuring that all staff involved in complaints are trained in

				relevant areas of complaint management.
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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	FHAs Resolving Complaints Policy	FHAs Resolving Complaints Policy is the only policy.
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	FHAs Resolving Complaints Policy	FHA have adopted a two-stage Formal Complaints process. Stage 1 and 2 process, with definitive timelines, from receipt of any complaint to final resolution is included within our Policy (Section 7)
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	FHAs Resolving Complaints Policy	FHA have adopted a two-stage Formal Complaints process. Stage 1 and 2 process, with definitive timelines, from receipt of any complaint to final resolution is included within our Policy (Section 7)
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	Yes	FHAs Resolving Complaints Policy	FHAs Resolving Complaints Policy Section 7 details the 2- stage process as outlined by the code.

	expected to go through two complaints processes.			
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Complaints Officer responsibility	The Complaints Officer is responsible for ensuring that all complaints are handled in line with the code.
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	FHAs Resolving Complaints Policy	Stage 1 and 2 process, with definitive timelines, from receipt of any complaint to final resolution are included within our Policy (Section 7)
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	FHAs Resolving Complaints Policy	Stage 1 and 2 process, with definitive timelines, from receipt of any complaint to final resolution are included within our Policy (Section 7)
5.8	At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> <li>a. deal with complaints on their merits, act independently, and have an open mind;</li> <li>b. give the resident a fair chance to set out their position;</li> </ul>	Yes	FHAs Resolving Complaints Policy	All complaints will be managed in accordance with our Policy, the Housing Ombudsman’s complaint Handling Code and The Regulator of Social Housing legislation to ensure a fair and

	<p>c. take measures to address any actual or perceived conflict of interest; and</p> <p>d. consider all relevant information and evidence carefully.</p>			<p>reasonable process is conducted. Any adjustments will be considered, as required and / or necessary. Full details of our commitment to Independence and Confidentiality are stated in section 9.</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	FHAs Resolving Complaints Policy	Set out in FHAs Complaints Handling Code Section 7.4
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	FHAs Resolving Complaints Policy	Set out in FHAs Complaints Handling Code Section 2.6
5.11	<p>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.</p>	Yes	FHAs Resolving Complaints Policy	Exclusions statement is contained within our Policy (Section 3)

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	FHAs Housing Management System	All complaints, and / or concerns raised are logged on a with FHAs housing management system and issued with a unique reference number. All communications issued and received, and relevant supporting documentation are saved within a respective Confidential folder in the system.
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	Complaints Officer responsibilities	The Complaints Officer will ensure that remedies take place as soon as is practicable and these will take place at any 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	FHAs Resolving Complaints Policy	Statement is included in Unacceptable Behaviour of our Policy (Section 14). FHA will not tolerate any abusive behaviour (physical or verbal) towards its staff or others involved during the handling of any complaint. Any incident arising of this nature will be taken seriously and appropriate action taken in accordance with the Law. Any

				restrictions placed on a resident's contact due to unacceptable behaviour will be appropriate to their needs and demonstrate regard for the provisions of the Equality Act 2010.
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	FHAs Resolving Complaints Policy	Statement is included in Unacceptable Behaviour of our Policy (Section 14). FHA will not tolerate any abusive behaviour (physical or verbal) towards its staff or others involved during the handling of any complaint. Any incident arising of this nature will be taken seriously and appropriate action taken in accordance with the Law. Any restrictions placed on a resident's contact due to unacceptable behaviour will be appropriate to their needs and demonstrate regard for the provisions 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	FHAs Resolving Complaints Policy	Statement is included in Complaints Process (Section 7.5)
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <b><u>within five working days of the complaint being received.</u></b>	Yes	FHAs Resolving Complaints Policy	FHA have adopted a two-stage Formal Complaints process. Stage 1 and 2 process, with definitive timelines, including 5 days to acknowledge a complaint, from receipt of any complaint to final resolution is included within our Policy (Section 7)
6.3	Landlords must issue a full response to stage 1 complaints <b><u>within 10 working days</u></b> of the complaint being acknowledged.	Yes	FHAs Resolving Complaints Policy	FHA have adopted a two-stage Formal Complaints process. Stage 1 and 2 process, with definitive timelines, including 10

				working days to respond to stage 1 complaint, from receipt of any complaint to final resolution is included within our Policy (Section 7)
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident.	Yes	FHAs Resolving Complaints Policy	Statement is included in Complaints Process (Section 7).
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	FHAs Resolving Complaints Policy	Statement is included in Complaints Process (Section 7). Policy outlines customer's right to contact the Ombudsman at any stage throughout the process or escalate on completion of the process. 7.4 details this in relation to when an extension is requested.
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	Yes	FHAs Resolving Complaints Policy	Statement is included in Complaints Process (Section 7)

	actioned promptly with appropriate updates provided to the resident.			
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	FHAs Resolving Complaints Policy	Statement is included in Complaints Process (Section 7)
6.8	Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if they are related and the stage 1 response has not been issued. Where the stage 1 response has been issued, the new issues are unrelated to the issues already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.	Yes	FHAs Resolving Complaints Policy	FHA will consider all additional complaints and include any issues raised if appropriate and relevant, at Stage 1.
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"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> </ul>	Yes	FHAs Resolving Complaints Policy	Statement is included in Complaints Process (Section 7)

	g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.			
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## 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	FHAs Resolving Complaints Policy	Statement is included in Complaints Process (Section 7).
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	FHAs Resolving Complaints Policy	Statement is included in Complaints Process (Section 7).
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	FHAs Resolving Complaints Policy	Statement is included in Complaints Process (Section 7.11).
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	FHAs Resolving Complaints Policy	Statement is included in Complaints Process (Section 7).
6.14	Landlords must issue a final response to the stage 2 <b><u>within 20 working days</u></b> of the complaint being acknowledged.	Yes	FHAs Resolving Complaints Policy	Statement is included in Complaints Process (Section 7).

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	FHAs Resolving Complaints Policy	Statement is included in Complaints Process (Section 7).
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	FHAs Resolving Complaints Policy	Statement is included in Complaints Process (Section 7.12).
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	FHAs Resolving Complaints Policy	Statement is included in Complaints Process (Section 7)
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	FHAs Resolving Complaints Policy	Statement is included in Complaints Process (Section 7)
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;	Yes	FHAs Resolving Complaints Policy	Statement is included in complaints Process (Section 7). FHA have adopted the two-stage Complaints process. Policy outlines customer's right to

	<ul style="list-style-type: none"> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> <li>g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.</li> </ul>			contact the Ombudsman at any stage throughout the process or escalate on completion of the process
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	FHAs Resolving Complaints Policy	Statement is included in Complaints Process (Section 7)

## 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"> <li>• Apologising;</li> <li>• Acknowledging where things have gone wrong;</li> <li>• Providing an explanation, assistance or reasons;</li> <li>• Taking action if there has been delay;</li> <li>• Reconsidering or changing a decision;</li> <li>• Amending a record or adding a correction or addendum;</li> <li>• Providing a financial remedy;</li> <li>• Changing policies, procedures or practices.</li> </ul>	Yes	FHA Remedies Policy	FHA Remedies Policy – Section 3 – Types of Remedies
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	FHAs Resolving Complaints Policy and Remedies Policy	Statement is included in Complaints Process (Section 7) and Remedies Policy.
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	FHAs Resolving Complaints Policy and Remedies Policy	Statement is included in Complaints Process and Remedies Policy (Section 7).

7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Remedies Policy	Detailed in Remedies Policy Section 2.1
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## 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"> <li>a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.</li> <li>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;</li> <li>c. any findings of non-compliance with this Code by the Ombudsman;</li> <li>d. the service improvements made as a result of the learning from complaints;</li> <li>e. any annual report about the landlord's performance from the Ombudsman; and</li> <li>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</li> </ul>	Yes	Annual complaints performance and service improvement report	Complaints Performance and Service Improvement Report completed annually and submitted to Housing Ombudsman to include all relevant sections.

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	Annual complaints performance and service improvement report	Report provided annually to FHAs board and published on FHAs website.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	FHA will review self-assessment if significant organisational changes take place.	FHA will review self-assessment if significant organisational changes take place.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	FHA will undertake any review requested by the Housing Ombudsman.	FHA will undertake any review requested by the Housing Ombudsman.
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	The Complaints Officer is aware of their responsibilities to report to the Housing Ombudsman to remain compliant with the code.	The Complaints Officer is aware of their responsibilities to report to the Housing Ombudsman to remain compliant with the code.

## 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	FHAs Resolving Complaints Policy	Statement is included in our Policy How Will We Learn from Complaints (Section 10)
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	Bimonthly Managers meetings and Quarterly Board Reports	The complaint handling culture is integral for FHA to help improve services. Lessons learnt from complaints are analysed and discussed in bimonthly management meetings and quarterly board reports.
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	Lessons learnt from complaints are reported back to relevant stakeholders by the Complaints Officer.	Lessons learnt from complaints are reported back to relevant stakeholders by the Complaints Officer.
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	Quarterly board reports	The Head of Data Integrity, who reports directly to the Chief Executive, analyses themes and trends and works with the Executive Leadership team to ensure issues and risks are addressed.

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	Resolving Complaints Policy Chair of the Board	The Chair of the Board will have responsibility for complaints for FHAs 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	Resolving Complaints Policy	Resolving Complaints Policy section 18 details the MRCs responsibilities.
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and	Yes	Resolving Complaints Policy	Resolving Complaints Policy section 18 details the MRCs responsibilities. Complaints will be included in board reports each quarter.

	d. annual complaints performance and service improvement report.			
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> <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>	Yes	Resolving Complaints Policy, FHA employee objectives and contractor review meetings.	Resolving Complaints Policy Section 11 Staff Training and Development Standard objective and agenda for contractor meetings.