

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	Association's Complaints Policy, (Section 2.1) 'How to make a complaint' leaflet Association's website www.falconruralhousing.com	The definition is clearly defined in the Association's Complaints Policy and in the 'How to make a complaint' leaflet. The definition is also clearly set out on the Association's website.
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	Association's Complaints Policy, (Section 2.2, 2.3 and 3.4) Association's website www.falconruralhousing.co.uk	This is explained fully in the Association's Complaints Policy and on the website. This information is also given verbally to tenants by members of staff, either face to face or on the telephone if they are expressing their dissatisfaction for any reason.

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	Association's Complaints Policy (<i>Section 2.5</i>)	Service requests for repairs and maintenance are always recorded. However, it should be noted that for an organisation of our size it is not practical, cost effective, necessary, nor a good use of staff time to be monitoring and reviewing every single service request received by the Association. We do record and monitor every service request that it is appropriate to do so.
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	Complaint Handling Code	
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	Randomly generated monthly repairs service satisfaction surveys via telephone.	Regular repairs service satisfaction surveys are undertaken via telephone and all tenants are informed as to how they can raise a complaint in the instances this may be appropriate. TSM surveys are sent anonymously, so the Association is unable to follow up an expression of satisfaction if names and contact details are not volunteered. If, however, a tenant does identify themselves through the survey, they will be sent the necessary information to enable them to 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	Yes	Association's Complaints Policy (<i>Section 2.5 and 2.8</i>)	Circumstances under which the Association may decide not to accept a complaint are set out in the Complaints Policy. The policy also ensures that any decision made to exclude a

	complaint they must be able to evidence their reasoning. Each complaint must be considered on its own merits			complaint will be clearly explained to the complainant to ensure the transparency of the decision.
2.2	A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include: • 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	Association's Complaints Policy (<i>Section 2.5</i>)	Circumstances under which the Association may decide not to accept a complaint are set out in its Complaints Policy.
2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.	Yes	Association's Complaints Policy (<i>Section 2.5</i>)	The Association applies its discretion in relation to complaints over 12 months, but does not consider it appropriate to specify examples in its Complaints Policy.
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	Yes	Association's Complaints Policy (<i>Section 2.5, 2.8 and 2.9</i>) Refer to Housing Ombudsman Service website as to how they will deal with the complaint.	The Association will give the complainant all the information they need in order to access the Housing Ombudsman Service (HOS). The HOS will then be responsible for this complaint by following their own complaints handling procedure.

	Ombudsman may tell the landlord to take on the complaint.		https://www.housing-ombudsman.org.uk/	
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Association's Complaints Policy (<i>Section 2.2</i>)	See all previous comments for Code Provisions Section 1 and Section 2.

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	Association's Complaints Policy (<i>Sections 3.2, 3.3 and 3.4</i>) 'How to make a complaint' leaflet Association's website www.falconruralhousing.com Tenant's Handbook Complaint form	The routes for logging a complaint are clearly stated in the Association's Complaints Policy. The routes are also clear on the 'How to make a complaint' leaflet and on our website. The routes available are: email, website, telephone, letter and, face to face conversation. The Association also has an easy to complete 'Complaint form' which can be sent to tenants, by request, through all the routes above as well as requesting it via text or WhatsApp.
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	Association's Complaints Policy (<i>Section 3.3</i>) Association's 'Tenant's Complaint form' Staff training record	All staff have had basic 'complaint handling' training as well as training in how to log a complaint. Maintenance and Management staff carry the standard complaint form that they can give to tenants wishing to complain. All six staff at the Association are fully aware of the Complaints procedure and who the key members of staff are in relation to 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	The Association does not, however, accept that this statement is relevant nor true due to the size and nature of the organisation.	This is a statement that is only relevant to large housing associations and is testament to the fact that the 'one size fits all approach' applied in this Code by the HOS is NOT appropriate. As a small housing association, we have very low complaints volumes as we are able to offer a much more 'hands on' personal and bespoke service than larger

				organisations. Should we have very high complaints, due to the nature of our size, this would be very worrying indeed and would definitely indicate that something was seriously wrong with our service. High complaints volumes for an organisation of our size would not be something to 'pat ourselves on the back over' and we are concerned that the HOS feels this is appropriate.
3.4	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the two stage process, what will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord's website.	Yes	Website www.falconruralhousing.com Tenant's Handbook 'How to make a complaint' leaflet Internal Complaints Procedure Tenant's Procedure flow-chart	The documents have been perused by some of the Association's tenants, who have agreed that they meet the Code requirements from a tenant's perspective.
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	Association's Complaints Policy (<i>Section 5</i>) Website www.falconruralhousing.com	
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	Association's Complaints Policy (<i>Section 3.1</i>)	
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	Association's Complaints Policy (<i>Section 4.2 and 4.3</i>) Website www.falconruralhousing.com	

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	Staff member in place to fulfil the role	Suitable Officer in place within the Association
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 (Section 3.7)	Suitable Officer in place within the Association
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	Staff are trained appropriately to their position within the Association.	

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	Yes	Association's Complaints Policy	There is wording in the Complaints Policy that confirms the Association will comply with the Equality Act 2010 and adapt to accommodate individual tenant's needs in terms of ability to

	not be treated differently if they complain.		Association's Equality, Diversity and Inclusion Policy	make a complaint. The Association also has an Equality, Diversity and Inclusion Policy in place.
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	Association's Complaints Policy	The Association has always operated an 'early and local resolution' approach to tenant services as part of its commitment to being a responsive and proactive landlord. As a small organisation, we are able to provide the 'personal touch' in our interactions with tenants, observing the guiding principles of respect, approachability, and accountability.
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	Association's Complaints Policy 'How to complain' leaflet	
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	Association's Complaints Policy	Any complaints regarding third parties will be handled under the Complaints Policy and Procedure and will be investigated with third parties as necessary, as part of standard complaint procedures.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Association's Complaints Policy	All complaints regarding third parties will be handled under the Complaints Policy and Procedure and will be investigated with third parties as necessary as part of standard complaint procedures.
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	Association's Complaints Policy Association's Complaints Acknowledgement letter Stage 1 and Stage 2	The Association has standard letters to acknowledge complaints. These standard letters serve as a template only and are adapted on a case-by-case basis.
5.7	When a complaint is acknowledged at either stage, landlords must be clear which aspects of the complaint they are,	Yes	Association's Complaints Policy	See comments above in 5.6

	and are not, responsible for and clarify any areas where this is not clear.		Association's Complaints Acknowledgement letter Stage 1 and Stage 2 Association's Complaints Register	
5.8	At each stage of the complaints process, complaint handlers must: 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	Association's Complaints Policy The integrity, knowledge and professionalism of our staff The Association's internal processes	Each stage of the complaints process will be fully documented to ensure transparency and fairness.
5.9	Where a response to a complaint will fall outside the timescales set out in this Code, the landlord must agree with the resident suitable intervals for keeping them informed about their complaint.	Yes	Association's Complaints Policy	
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	Association's Complaints Policy Association's Equality, Diversity and Inclusion Policy	The staff handling the complaint as well as the Complaints Officer will ensure that they are up to date with any relevant changes to the Equality Act 2010 which could affect the way in which a case would be handled.
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	Yes	Association's Complaints Policy	The Association agrees to deal with all complaints in accordance with its own Complaints Policy and Section 2 of the HOS

	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.	Yes	The Association's Complaints Logging system.	The Association has an internal system of logging complaints from start to finish so that if, for whatever reason, the member of staff originally handling the complaint is no longer able to do so, any other relevant member of staff can pick the complaint up and deal with it from that point on.
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	The Association's internal processes	The Association will use its integrity and professionalism to ensure that the appropriate remedy can be offered as a resolution to a relevant complaint.
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	The Association's Unacceptable Behaviour Policy and Procedure and its Anti-Social behaviour Policy	The Association will give due consideration to the appropriate policies when required and appropriate.
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	The Association's Unacceptable Behaviour Policy and Procedure and its Anti-Social behaviour Policy	Accessibility and reasonable adjustments considered in all services policies.

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	The Association's Complaints Policy (<i>Sections 3.6, 3.7, 3.8, 3.9 and 3.10</i>) The integrity, knowledge and professionalism of our staff	The Association is very small and by the very nature of our organisation, we would not expect a huge number of complaints at any one time. Consequently, complaints will be dealt with as and when they arise in the order in which they are received. If, in the unlikely event, multiple complaints are received together, the Complaints Officer will take a view as to the order in which they should be addressed.
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	Association's Complaints Register (<i>Section 3.6</i>) The Association's internal complaints process	Standard acknowledgement letters are in place and all relevant staff are aware and have had training in the complaints process. An automated diary reminder system is in use.
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Association's Complaints Register (<i>Section 3.6</i>) Association's letter of response to a stage 1 complaint	An automated diary reminder system is in place and the Association agrees to deal with all complaints in accordance with its own Complaints Policy and the HOS Complaint Handling Code.
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	Yes	Association's Complaints Register (<i>Section 3.6</i>)	The Association deals with all complaints in accordance with its own Complaints Policy and the HOS Complaint Handling Code. No extension of timescales has yet been required.

	the reason(s) must be clearly explained to the resident.			
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	Association's Complaints Register (<i>Section 3.6</i>)	See comment above 6.4
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	The Association's internal complaints processes	The Association deals with all complaints in accordance with its own Complaints Policy and the HOS Complaint Handling Code.
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	Association's Complaints Register (<i>Section 3.6</i>) Association's letter of response to a stage 1 complaint	The Association deals with all complaints in accordance with its own Complaints Policy and the HOS Complaint Handling Code.
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	The Association's internal complaints processes Association's letter of response to a stage 1 complaint	The Association deals with all complaints in accordance with its own Complaints Policy and the HOS Complaint Handling Code.
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: a. the complaint stage; b. the complaint definition; c. the decision on the complaint;	Yes	The Association's internal complaints processes Association's letter of response to a stage 1 complaint	The Association deals with all complaints in accordance with its own Complaints Policy and the HOS Complaint Handling Code.

	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.			
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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	Association's Complaints Policy (<i>Section 3.7</i>)	The Association deals with all complaints in accordance with its own Complaints Policy and the HOS Complaint Handling Code.
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	Association's Complaints Policy (<i>Section 3.7</i>) The Association's internal complaints process	Standard acknowledgement letters are in place and all relevant staff are aware and have had training in the complaints process.
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		The organisation strives at all times to understand the concerns of tenants and to make all reasonable efforts to do so. However, the absence of a clear rationale from the tenant for escalating to a stage 2 complaint could impede our ability to address the complaint effectively and may even delay resolution. Further, lack of a requirement to offer such a rationale may facilitate vexatious compensation claims.

6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Association's Complaints Policy (<i>Section 3.9</i>)	
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	Association's Complaints Policy (<i>Section 3.7</i>) Association's letter of response to a stage 2 complaint	An automated diary reminder system is in place and the Association deals with all complaints in accordance with its own Complaints Policy and the HOS 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	Association's Complaints Policy (<i>Section 3.7</i>) Association's letter of response to a stage 2 complaint	The Association deals with all complaints in accordance with its own Complaints Policy and the HOS Complaint Handling Code.
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	Association's Complaints Policy (<i>Section 3.8 and 4</i>) Association's letter of response to a stage 2 complaint	The Association deals with all complaints in accordance with its own Complaints Policy and the HOS Complaint Handling Code.
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	Association's Complaints Policy (<i>Section 3.10</i>)	The Association deals with all complaints in accordance with its own Complaints Policy and the HOS Complaint Handling Code.
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	The Association's internal complaints processes	The Association deals with all complaints in accordance with its own Complaints Policy and the HOS Complaint Handling Code.

			Association's letter of response to a stage 2 complaint	
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	Yes	The Association's internal complaints processes Association's letter of response to a stage 2 complaint	The Association deals with all complaints in accordance with its own Complaints Policy and the HOS Complaint Handling Code.
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	The Association's internal complaints processes	

Section 7: Putting things right

Code provision	Code requirement	Comply Yes/No	Evidence	Commentary / explanation
7.1	Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include: • Apologising;	Yes	Association's letter of response to a stage 1 complaint Association's letter of response to a stage 2 complaint	The Association deals with all complaints in accordance with its own Complaints Policy and the HOS Complaint Handling Code.

	• 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.			
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Complaint Handling Code	The Association will offer the remedy it considers most appropriate and fair, on a case-by-case, basis whilst being mindful of the Statutory Code and guidance as set out by the HOS.
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	Association's letter of response to a stage 1 complaint Association's letter of response to a stage 2 complaint	
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Association's letter of response to a stage 1 complaint Association's letter of response to a stage 2 complaint	See comment in Section 7.2

Section 8: Self-Assessment, reporting and compliance

Code provision	Code requirement	Comply Yes/No	Evidence	Commentary / explanation
8.1	Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include: a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.	Yes	Annual Complaints Report 2023/24 Website www.falconruralhousing.com	
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	Yes	The Board's Response Website www.falconruralhousing.com	

	to complaints. 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.	Yes	The Association has not taken place in a significant restructure, merger or had a change in procedures. See commentary for action should any of these occur.	Should the Association undertake a significant restructure, merger and/or change in procedures, it will of course carry out a new self-assessment. <i>Note- The Association was advised by the HOS at 'Submissions Webinar' on 11 June 2024 that the use of N/A (even when it is!) is not acceptable within the self-assessment. The instruction was given by the HOS to answer 'Yes' to items that were not applicable so that it can be seen that the Association intends to comply should certain events arise that haven't arisen yet!</i> Would it be better to put N/A as other organisations have done – advice please?
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	The Association's Self-Assessment	The Association will review and update its self-assessment following an Ombudsman investigation.
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 Association has not been in a position when it is unable to comply with the Code. See commentary for action should an exceptional circumstance occur.	If the Association is unable to comply with the Code due to exceptional circumstances, such as a cyber incident, it will inform the Ombudsman, provide information to its tenants who may be affected, and publish this on its website. The Association will also provide a timescale for returning to compliance with the Code.

Section 9: Scrutiny and 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	Yes	Complaint investigation	This code provision iterates the organisation's existing practice of evaluating all tenant feedback within the broader considerations of service improvement.

	improvements can be made as a result of any learning from the complaint.			
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		The organisation strives at all times to provide high standards of responsive, personalised tenant service and support. It therefore evaluates all tenant feedback within the broader considerations of service improvement.
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	Housing Management Committee, Internal Controls Committee and Full Board Continual staff communication	
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		Covered in Code provision 4.1 and 4.2
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	Board Member Appointed	Appointed at Board Meeting of 13 June 2024.
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	Board Member Appointed	Appointed Member will be responsible for the requirements as set out in the Complaints Handling Code.

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 d. annual complaints performance and service improvement report.	Yes	Housing Management Committee Minutes Full Board Minutes Housing Ombudsman Reports https://www.housing-ombudsman.org.uk/	All information required by the Complaints Handling Code will be assessed by the Association's Housing Management Committee and findings reported to the Full Board for comment. Housing Ombudsman Service posts updates on its investigations / maladministration findings on its website. The Managing Director will view these reports and report the relevant information to the MRC and governing body.
9.8	Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to: a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments; b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and c. act within the professional standards for engaging with complaints as set by any relevant professional body.	Yes	Association's Complaints Policy Staff, Board Members and Contractors awareness. The Association's 'How to make a complaint' leaflet Complaints form for tenants.	All staff are fully aware of the Complaint Handling Code and its requirements. Appropriate training has taken place with staff members. All Board Members have been made familiar with the Code and its requirements. All external contractors have been made aware of the Association's obligations in regard to the Code.