

Housing Ombudsman Service: Self-assessment form

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

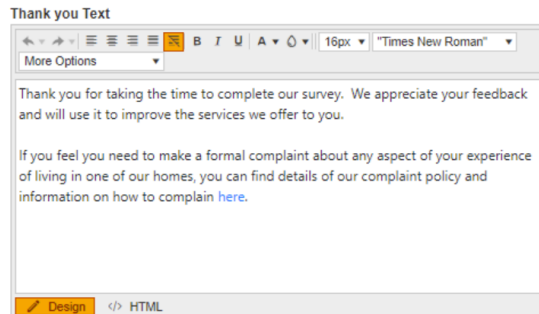
Once approved, landlords must publish the self-assessment as part of the annual complaints' performance and service improvement report on their website. The governing body's response to the report must be published alongside this.

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	See Section 6 of the LGAH Complaints Policy LGAH Complaints Policy	
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	Section 9 of the LGAH Complaints Policy allows customers to raise a complaint following a report of dissatisfaction. LGAH Complaints Policy	
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	Yes	Section 7 of the LGAH Complaints Policy defines that a service request will not be raised as a complaint. LGAH Complaints Policy	

	right. Service requests are not complaints, but must be 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	Section 9 of the LGAH Complaints Policy allows customers to a raise complaint following a report of dissatisfaction. LGAH Complaints Policy	
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	All of LGAH's survey responses have a statement included on how customers can make a complaint separately to completion of the survey.  The screenshot shows a text editor titled 'Thank you Text'. The text inside reads: 'Thank you for taking the time to complete our survey. We appreciate your feedback and will use it to improve the services we offer to you. If you feel you need to make a formal complaint about any aspect of your experience of living in one of our homes, you can find details of our complaint policy and information on how to complain here.' The editor has a toolbar with various formatting options and a 'Design' tab selected at the bottom.	

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	Section 7 of the LGAH Complaints Policy details when a complaint will not be accepted. LGAH Complaints Policy	
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 complaint relates to an issue which happened over twelve months ago. • Where 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	Yes	Section 7 of the LGAH Complaints Policy details when a complaint will not be accepted. LGAH Complaints Policy	If a complaint is not accepted, a detailed explanation is provided to the customer, setting out the reasons why and based on the circumstances of the complaint. Complaint refusals are assessed on a case-by-case basis.

	policy and which have been responded to at Stage 1 and Stage 2.			
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	The LGAH Complaints Policy aligns to this requirement, and section 7 specifically refers to complaints made 12 months after the issue occurred. LGAH Complaints Policy	An assessment of a complaint request will also be made on a case-by-case basis where there are extenuating or exceptional circumstances on why a complaint should be raised and accepted.
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	Section 7 of the LGAH Complaints Policy requires an explanation to be provided to a customer when a complaint is not accepted. This response will include details of the Housing Ombudsman as standard in all LGAH complaint response templates. LGAH Complaints Policy	If a complaint is not accepted, a detailed explanation is provided to the customer, setting out the reasons why and based on the circumstances of the complaint. Complaint refusals are assessed on a case-by-case basis. In this and all formal complaint responses, the customer is provided with details of how to contact the Ombudsman.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Section 7 of the LGAH Complaints Policy aligns to this requirement and our commitment to review each case individually. LGAH Complaints Policy	If a complaint is not accepted, a detailed explanation is provided to the customer, setting out the reasons why and based on the circumstances of the

				complaint. Complaint refusals are assessed on a case-by-case basis.
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Section 3: Accessibility and Awareness

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
3.1	Landlords must make it easy for residents to complain by providing different channels through which they can make a complaint. Landlords must consider their duties under the Equality Act 2010 and anticipate the needs and reasonable adjustments of residents who may need to access the complaints process.	Yes	Section 8 of the LGAH Complaints Policy sets out a variety of channels in which customers can raise a complaint. Section 15 considers LGAH's duties under the Equality Act 2010 LGAH Complaints Policy	LGAH has access to translation services in addition to a variety of channels for raising 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	Section 8 of the LGAH Complaints Policy sets out a variety of channels in which customers can raise a complaint. All LGAH staff members are given annual complaints training on how to raise and report a complaint from a customer. LGAH Complaints Policy	
3.3	High volumes of complaints must not be seen as a negative, as they can be	Yes	LGAH offers an accessible complaints process for customers	LGAH monitors the risk of 'silent sufferers' by actively

	indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.		and see this as an opportunity to address any specific service failures to improve its offer to customers.	surveying the number of households through the Institute of Customer Services who report having had a problem but also report not having made a complaint.
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	The LGAH Complaints Policy is published on its website, and it is available in other formats on request. The Policy clearly states the two-stage process and timeframes for responding across each stage. LGAH Complaints Policy	
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	Section 8 of the LGAH Complaints Policy meets this requirement. Section 5 provides information about the Housing Ombudsman and their Complaint Handling Code. LGAH 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	Section 8 of the LGAH Complaints Policy meets this requirement. This forms part of the annual training provided to staff on the policy. LGAH Complaints Policy	

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	All formal complaint responses include details of the Housing Ombudsman Service as per Section 8 of the LGAH Complaint Policy LGAH Complaints Policy	
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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	LGAH has a dedicated team responsible for complaint handling. LGAH Management Providers also have dedicated complaints teams who manage LGAH Stage 1 customer complaints. Monthly performance updates on complaints are provided to LGAH's senior management team, and RP Boards.	
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 management is a fundamental service for LGAH, and the complaints team has access and the ability to influence at all levels within the business.	
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	All LGAH staff handling complaints have the appropriate skills and training to effectively manage complaints. LGAH has a dedicated team which is specifically resourced to handle complaints.	

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	LGAAH has a single policy for complaints and through having a dedicated team managing complaints, this ensures customers are not treated differently if they complain. LGAAH Complaints 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	The LGAAH Complaints Policy follows the principles set by the Housing Ombudsman and only has a two-stage complaint process. LGAAH Complaints Policy	
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	Yes	The LGAAH Complaints Policy follows the principles set by the Ombudsman and only has a two-stage complaint process. LGAAH Complaints Policy	

	delay access to the Ombudsman.			
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	The LGAH Complaints Policy follows the principles set by the Ombudsman and only has a two-stage complaint process including when a complaint stage is dealt with by another party. LGAH Complaints Policy	
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	LGAH partners with six management providers to help deliver its landlord functions to its customers. Within the management agreement with each regional partner, there is a requirement to adopt the LGAH Complaints Policy when managing customer complaints.	LGAH also reviews the complaint self-assessments of its registered provider partners to assure itself of their compliance.
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	Yes	LGAH uses a template for its formal complaint responses. As part of this template, LGAH sets out its understanding of the complaint, the outcome the customer is seeking, details of the investigation and the complaint outcome.	All correspondence at Stage 1 and Stage 2 is reviewed by a peer and then by a senior member of staff. This is in part to ensure this structure of correspondence is delivered.

	unclear, the resident must be asked for clarification.			
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	Wherever possible, LGAH and its agents will call the customer to ensure that there is a full understanding of the case and the investigation. This is followed up by correspondence to confirm what grounds are being investigated, or not.	
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	Section 10 of the LGAH Complaints Policy sets out our key aims for training our staff and suppliers in complaint management LGAH Complaints Policy	LGAH seeks to survey all its customers who express a complaint and, in particular, to draw feedback on the experience of how the complaint handler managed the case. This information is used to help improve overall team performance.
5.9	Where a response to a complaint will fall outside the timescales set out in	Yes	Section 10 of the LGAH Complaints Policy sets out the process for extending	Within LGAH's complaints management system, there is the ability to add in a reoccurring

	this Code, the landlord must agree with the resident suitable intervals for keeping them informed about their complaint.		a complaint beyond the policy timescale in agreement with the customer. LGAH Complaints Policy	communication with the customer which is used by LGAH case management team as part of effective complaint handling. These intervals are agreed with the customer.
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	Section 15 of the LGAH Complaints Policy sets how LGAH meets its Equality duties LGAH Complaints Policy	LGAH's housing management system has the functionality to record any reasonable adjustments made for customers, and the ability to record any disabilities disclosed.
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	Section 11 of the LGAH Complaints Policy sets out the valid reasons for not raising or escalating a complaint. LGAH Complaints Policy	

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	LGAH has created a specific complaint management system to effectively record each complaint stage, with the ability to store all relevant correspondence linked to the complaint.	The dedicated LGAH complaints management team regularly audits case files to ensure that complete case records are maintained.
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	LGAH's complaint process aims to seek a quick resolution for customers, and this can be at any stage of the complaints process. Its dedicated complaints management team is supported by the senior leadership of the business to access all necessary resources to resolve complaints without the need for escalation.	
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	Yes	Section 14 of the LGAH Complaints Policy details how it will manage cases of unacceptable behaviour. LGAH Complaints Policy	In addition to Section 9, LGAH has an overarching Unacceptable Behaviour Policy which is publicised on our website LGAH Unacceptable Behaviour Policy

	reasons for putting any restrictions in place and must keep restrictions under regular review.			
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 LGAH Policies highlight the need to carry out individual assessments on how to address unacceptable behaviour from customers. They are also drafted in accordance with 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	Section 10 of the LGAH Complaints Policy follows these principles. LGAH Complaints Policy	The LGAH case management team assesses all complaints as they are received. Where a quick resolution can be progressed, this is prioritised as per the aims of its Policy.
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	Section 10 of the LGAH Complaints Policy aligns to this requirement. LGAH Complaints Policy	
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Section 10 of the LGAH Complaints Policy aligns to this requirement. LGAH Complaints Policy	
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the	Yes	Section 10 of the LGAH Complaints Policy aligns to this requirement.	

	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.		LGAH Complaints Policy	
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	Section 10 of the LGAH Complaints Policy aligns to this requirement. LGAH Complaints Policy	
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	Section 10 of the LGAH Complaints Policy aligns to this requirement. LGAH Complaints Policy	
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	Section 10 of the LGAH Complaints Policy aligns to this requirement. LGAH Complaints Policy	
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	Yes	Section 10 of the LGAH Complaints Policy aligns to this requirement. LGAH Complaints Policy	

	unrelated to the issues already being investigated or it would unreasonably delay the response, the new 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: 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	LGAH has adopted a Stage 1 complaint template which includes all the information detailed under this requirement. It is a requirement of the complaint handling process to use this template. Complaint responses are not signed off for release where this model of response has failed to be followed.	

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	Section 10 of the LGAH Complaints Policy aligns to this requirement. LGAH Complaints Policy	

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	Section 11 of the LGAH Complaints Policy aligns to this requirement. LGAH Complaints Policy	
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	Section 11 of the LGAH Complaints Policy aligns to this requirement. LGAH Complaints Policy	
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Section 611of the LGAH Complaints Policy aligns to this requirement. LGAH Complaints Policy	
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	Section 11 of the LGAH Complaints Policy aligns to this requirement. LGAH Complaints Policy	
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	Section 11 of the LGAH Complaints Policy aligns to this requirement. LGAH Complaints Policy	

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	Section 11 of the LGAH Complaints Policy aligns to this requirement. LGAH Complaints Policy	
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	Section 11 of the LGAH Complaints Policy aligns to this requirement. LGAH Complaints Policy	
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	Section 11 of the LGAH Complaints Policy aligns to this requirement. LGAH Complaints Policy	
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	Yes	LGAH has adopted a Stage 2 complaint template which includes all the information detailed under this requirement. It is a requirement of the complaint handling process to use this template. Complaint responses are not signed off for release where this model of response has failed to be followed.	

	Service if the individual remains dissatisfied.			
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Section 11 of the LGAH Complaints Policy aligns to this requirement. LGAH Complaints Policy	

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; • 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	LGAH's formal complaint responses follow a standard template which includes the information detailed under this requirement. As part complaint investigation, LGAH aims to speak directly with customers to discuss their complaint in more detail. Where it is clear that a service failure has occurred, LGAH will apologise and agree what actions need to be taken to resolve matters, including follow-on learning actions.	

7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	LGAH follows the Housing Ombudsman Remedy Guidance and assesses an appropriate remedy for the customer as part of its complaint handling process.	
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	LGAH's formal complaint responses include what action will be taken to resolve the concern for the customer. These are tracked through the LGAH complaint management system, with customers updated regularly as part of effective case management.	
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	LGAH follows the Housing Ombudsman Remedy Guidance and assesses an appropriate remedy for the customer as part of its complaint handling process.	

Section 8: Putting things right

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		This is in place for the 2024/2025 reporting year and compliant for annual submission in June 2025. The LGAH 2024/25 report can be found here: LGAH Annual Complaints Report 2024 The LGAH Board's response to the report can be found here: LGAH Board's response to its Annual Complaints Report 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. The governing body's response to the report must be published alongside this.	Yes	The LGAH annual complaint report is reported to the LGAH RP Boards. As part of the LGAH reporting cycle, it monitors complaint performance and service improvement from April to March annually. The report is then published on to the LGAH website alongside the governing bodies response. Reports & documents - Legal & General Affordable Homes (landgah.com)	
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	Reports & documents - Legal & General Affordable Homes (landgah.com)	LGAH is yet to go through a significant change that would require this step to be followed. However, it will conduct such a review where it is required.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	Reports & documents - Legal & General Affordable Homes (landgah.com)	If requested, LGAH will comply with this requirement.
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	Yes		If required, LGAH will comply with this requirement.

	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.			
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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	LGAH operates a sophisticated structure of customer insight using a combination of tools to draw together a picture of its customer experience. This is reported routinely to senior management and the Board. This model includes analysis of what customers are complaining about most and in recent years has led to several significant changes in the business. This includes an overhaul of the defect management service based on customer feedback and the decision to end a relationship with a key supplier.	LGAH creates monthly complaint performance reports and this includes trend analysis and complaint learning. This performance report is assessed at senior level to review specific learning trends.
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	Yes	LGAH's culture focusses heavily on the experience of customers. As an example, the complaints management team regularly	

	intelligence to identify issues and introduce positive changes in service delivery.		present to the wider business on the key trends that are shaping the experience of LGAH's customers.	
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	LGAH produces a quarterly customer report published on its website. Quarterly Performance Reports Complaint learning is also shared monthly within the LGAH performance packs to senior managers, and feedback is provided to the LGAH management providers on individual complaint performance.	
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	LGAH's Director of Customer & Property has overall accountability for its complaints service	
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	Yes	LGAH has confirmed its Member Responsibility for Complaints on its governing body.	

	Responsible for Complaints ('the MRC').			
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	A framework has been produced for the MRC to receive regular information on complaints from a senior complaints lead to report back to the governing body.	
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	The LGAH MRC complaint sharing framework meets this requirement.	
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	All relevant staff have the following objective for 2024: <i>Provide support and when needed, take responsibility for</i>	

	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.		<i>resolving complaints through a proactive approach across teams. This may include changing ways of working linked to complaint learning.</i>	
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