

#### 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	Complaint policy Section 1.2	This is highlighted in section 1 of Wellington Mills Housing Co-op’s complaint policy, which is line with the Landlord, Lambeth council’s 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	Complaint policy Section 1.3	Section 1 of Wellington Mills Housing Co-op’s policy states the word complaint does not have to be used in a complaint , in line with Lambeth Council’s 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	Complaint policy section 1.4	Wellington Mills Housing Co-op’s policy on complaint states in section 1, the difference in a service request and complain, in line with the section 2 of Lambeth Council’s 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	Complaint policy section 1.6	A complaint is registered/logged by Wellington Mills when a resident expresses dissatisfaction with a service request, in addition to the service request being dealt with. This is in line with section 2 of Lambeth Council's 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	Complaint policy section 1.7	Wellington Mills Housing Co-op acknowledges dissatisfaction expressed in a survey by contacting the resident for more information and always takes steps to rectify the problem.

## 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	Complaint policy section 2.1	Wellington Mills Housing Co-op deals with complaints based on its merit, in deciding the validity of the complaint, as stated on its complaint policy section 2. This is in line with Lambeth Council's policy.
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> </ul>	Yes	Complaint policy section 2.2	Wellington Mills Housing Co-op policy sets out situations not considered complaints and this is done in a fair manner giving the resident reasons for the decision .

	<ul style="list-style-type: none"> <li>Matters that have previously been considered under the complaints policy.</li> </ul>			
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	Complaint Policy section 2.4	The decision to accept a complaint within 12 months will usually be made in line with the complaint policy. Any complaints outside this timeline will be dealt with at the discretion of management. This is in line with Lambeth Council's 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 Ombudsman may tell the landlord to take on the complaint.	Yes	Complaint Policy section 2.5	Wellington Mills will always give a complainant reasons when a decision is made to this effect and give them the option to refer the complaint to the ombudsman as stated in section 2 of our complaint policy, in line with the Landlord, Lambeth Council's policy.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Complaint Policy section 2.1	Wellington Mills will not take a blanket approach in excluding complaints and will deal with each case on its merit.



### 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	Complaint policy sections 4.3 , 6.2 & 6.3	Complaints can be made in person, by telephone call, email or letter. Residents can also come to the estate office for help in putting their complaint in writing if required.
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	Complaint policy sections 6.4	All staff are aware of the complaint process, and know the appropriate person to forward a complaint to in the estate office.
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	Complaint policy section 6.1(a - e )	Wellington Mills Housing Co-op acknowledges that complaints are a means of assessing our service standards and improving services where needed.
3.4	Landlords must make their complaint policy available in a clear and	Yes	Complaint policy section 4.3	Our complaint policy can be accessed on our website.

	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.			Similarly the Landlord, Lambeth's policy can be accessed on the Council's website
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		As above
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	Complaint policy section 1.3, 4, 7.3, 7.4, 7.5	Wellington Mills Housing Co-op works in line with the its complaint policy, giving every complainant the various options, in line with Lambeth Council's 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	Complaint policy sections 9.5 (L)	Residents are made aware of this option



## 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	Complaint policy Sections 8.0	<p>Stage 1 complaints will be dealt with by the Estate Director</p> <p>The Estate Director or the Landlord, ( Lambeth Council) will deal with Ombudsman complaint depending on the type of complaint. Wellington Mills will deal with complaints in areas under its remit.</p>
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	Complaint policy 5	The estate director is available to facilitate resolution to complaints relating to issues under the co-operative's remit and has the autonomy to resolve disputes in a fair manner
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	Yes	Complaint policy section 6.2, 6.3	Estate Director is trained in handling complaints efficiently and effectively

	core service and must be resourced to handle complaints effectively			
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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		Wellington Mills Housing Co-op has a single complaints policy, in line with the Landlord's (Lambeth Council). All complaints are dealt with in a fair manner.
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	Complaint policy section 8.0	Stage 1 complaints are dealt with locally by Wellington Mills Housing Co-op, and the stage 2 dealt with by Lambeth Council
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	As above	Wellington Mills has only two processes in line with the Landlord's policy
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	Yes	The complaint policy section 9 & 10, 11	Complaints coming to Wellington Mills Housing Co-op forms part of the two-stage process, where

	two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes.			<p>the TMO deals with stage One.</p> <p>Stage Two is dealt with by the Landlord, Lambeth Council where the resident is dissatisfied with the stage one response.</p>
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes		The Landlord, Lambeth Council has its complaints policy which feeds into Wellington Mills's and inline with the Landlord's instruction we have ensured complaints are handled in line with the complaint codes
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	Complaint policy sections 11	In dealing with stage 1 complaints, Wellington Mills Housing Co-op, response is to acknowledge it without the word complaint being mentioned and gives the definition of complaint, where there is lack of clarity, we would respond to the resident seeking clarity on the issue.
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	Yes	Complaint policy sections 9	In line with section 9 of our complaint policy we acknowledge all complaints and seek clarification where

	clarify any areas where this is not clear.			needed from the resident. Where the complaint is to do with an area not within the responsibility of the TMO, we would sign post them to the Landlord or help by contacting the Landlord on their behalf
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> <li>c. take measures to address any actual or perceived conflict of interest; and</li> <li>d. consider all relevant information and evidence carefully.</li> </ul>	Yes	Complaint policy section 6	At the stage 1 of a complaint, the complaint handler will deal with the complaint on its merit, with an open mind and give the resident fair chance in taking measures to address the issue. All relevant information will be taken into consideration.
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	Complaint policy section 9	In dealing with a complaint where there will be delays due to the complexity of an issue, the TMO will agree on timelines for keeping the resident informed on the outcome and status of the complaint
5.10	Landlords must make reasonable adjustments for residents where appropriate under the Equality Act	Yes	Complaint policy sections 4.4	As part of its equality act, Wellington Mills Housing Co-op treats all residents

	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.			equally, and adjust where required for residents based on their vulnerability. Any such adjustment will be kept under review
5.11	Landlords must not refuse to escalate a complaint through all stages of the complaints procedure unless it has valid reasons to do so. Landlords must clearly set out these reasons, and they must comply with the provisions set out in section 2 of this Code.	Yes	Complaints policy section 2	Complainants are always informed of their right to escalate any dissatisfaction to the Landlord ( Lambeth Council).
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		Wellington Mills Housing Co-op has a complaints log sheet, which is updated with the date complaint is received, category of complaint, outcome of investigation, date response sent . And in line with our data retention policy, copies of response and other documents will be kept on the resident's house file .
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	Yes		Processes are in place for ensuring resolution for faults identified due to a complaint. Where appropriate any compensation will be dealt

	at any stage of the complaints process without the need for escalation.			with in line with the Landlord ( Lambeth Coucil's) compensation policy.
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	Complaint Policy section 3	Where it becomes necessary to take action due to a resident's unacceptable behaviour they will be notified of this and given reasons for this decision. Wellington Mills will however always remain courteous to our residents.
5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard witfor the provisions of the Equality Act 2010.	Yes	As above	Every action taken by the TMO will be proportionate to the unacceptable behaviour and will be temporary. We would also bear in mind the equality Act 2010 when making decisions under these circumstances

## 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.	Y	Complaints policy 2.3	In line with our processes, we respond to complaints as soon as they are received and in line with our policy. Where there's likely to be a delay and the resident is vulnerable we'd carry out a home visit to assure them the issue is being dealt with, and provide immediate alternative solution until the issue is resolved ( e.g. providing electric heaters while waiting for boiler to be repaired) . Where there are long delays, we'd apologise and assure the complainant the issue is still in hand offering a reason for the delay, and follow through till completion. Once this is completed, the complainant will be contacted and feedback

				sought on how the issue was dealt with.
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	Complaint policy Section 9.3	This is done in line with our complaints policy, which sets out the timeline for response, as set out in the complaint handling code.
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	Complaint policy Section 9.4	This is done in line with our complaint policy section 9.4
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	Complaint policy Section 9.4	This is covered in our complaint policy section 9.4 in line with the Landlord's 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	Complaint policy Section 15	This is covered in our complaint policy
6.6	<i>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</i>	Yes	<i>Complaint policy Section 9.4</i>	Our complaint policy states this, and updates will be provided to the resident on the actions being carried out( which are not in breach



	<i>actioned promptly with appropriate updates provided to the resident.</i>			of Data protection) and outcomes
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	Complaint policy Section 7.8	As detailed in our complaint policy section 7.8, good practice will be always adhered to
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		Where there are additional complaints while the original complaint is under investigation, this will be recorded and incorporated into the original complaint. Any new unrelated complaint will be recorded separately.
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>	Y	Complaint policy Section 9.5	Under the stage 1 complaint, responses are in line with the Ombudsman's complaint handling code and meet the details given in points 'a' to 'f'

	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	Complaint policy Section 11.1	Wellington Mills complaint policy sets that dissatisfied residents have the right to escalate the complaint to the stage 2, by contacting the Landlord, Lambeth Council
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	Complaint policy Section 11.2	Stage 2 Compliant is dealt with by the Landlord, Lambeth Council in line with their policy, which is in line with the Landlord's 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		Information on this is stated in the Landlord, Lambeth Council procedure which can be accessed on their website.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Compliant policy 9.4, 11.1	Wellington Mills Housing Co-op's policy gives details who deals with a complaint at each stage

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	Complaint policy 11.2	Our policy gives details on the timeline for the Landlord, Lambeth Council to provide a final response to the complaint, which is within the 20 working days
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		This is done by the Landlord, Lambeth Council and stated on their procedure
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	Wellington Mills Housing Co-op Complaint policy 11.1	The Landlord, Lambeth would deal with this and their complaint procedure covers this areas
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	Wellington Mills Housing Co-p complaint policy section 11.1	The Landlord, Lambeth Council will be responsible for this area which their complaints procedure covers
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	Wellington Mills Complaint policy section 9.3 & 9.4	The Landlord, Lambeth Council will be responsible for this area which their complaints procedure covers

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	Complaint policy section 9.5 & 11.1	The Landlord, Lambeth Council will be responsible for this area which is stated in their complaints procedure.
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 Landlord, Lambeth Council will be responsible for this area which their complaints procedure covers

## 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:	Yes	Complaints policy Section 9.5	This will be done in line with Wellington Mills Housing Co-op's complaint policy and the Ombudsman's guidance,

	<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>			which covers all the areas mentioned.
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Complain policy section 10.2	This will be done based on the circumstances surrounding individual cases, and we will always aim to find quick solutions to complaints in order not to inconvenience residents or put them at a disadvantage.
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	Complaint policy section 10.2	This will be done as set out in the complaint policy, and all remedies proposed will be followed to completion
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes		Wellington Mills Housing Co-op will take account of the guidance issued by the Ombudsman



## 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 complaint's performance and service improvement report providing all the information requested	<p>Wellington Mills Housing Co-op provides qualitative and quantitative report on complaints received to the Landlord, Lambeth Council, which is used as part of their bi-annual performance and service improvement report. Wellington Mills presents the report to Residents at our bi-annual General meetings.</p> <p>The report covers our performance in relation to other TMOs, and Lambeth managed offices in meeting KPIs which includes complaints.</p> <p>This is our first assessment, and any recommendation from the Ombudsman will be reported to the management board and residents at the next GM</p>

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 governing body/ board of trustee's statement must be in response to the Annual complaint's performance and service improvement report 2023/2024 Publish on the Landlord/Charity website	Minutes, of report presented to residents at our GM and AGM are on our website  www.wellingtonmills.org.uk
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	Can be N/A if no merger has taken place – but Landlord/Charity to acknowledge it understands the requirement of this provision	Not applicable, we however understand the requirement of this provision
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	Can be N/A if the Landlord/Charity has not been asked to review and update the SA – but Landlord/Charity to acknowledge it understands the requirement of this provision	No applicable , we however understand the requirement of this provision and will comply with the outcome of the ombudsman's recommendations.
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	Can be N/A if this has not happened – but Landlord/Charity to acknowledge it understands the requirement of this provision	Not applicable however we understand the requirement and will comply when applicable



## 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	Annual complaint's performance and service improvement report	Wellington Mills Housing Co-op will take a holistic approach in assessing our performance, acknowledging where we've gone wrong, making things right and training staff to ensure the mistake is not repeated.
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	Annual complaint's performance and service improvement report	We take every complaint seriously, ensuring record is kept and monitored on a regular basis. We will review these complaints regularly and see them as a learning curve, as well as be proactive in putting in measures avoid repeats. Any lessons learnt will be communicated to all staff members.
9.3	Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report back on wider learning and	Yes	Annual complaint's performance and service improvement report	A report is provided at monthly board meetings on our performance in areas of responsibility such as type

	improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees.			<p>and number of complaints received, and responded to within target time. This information is also made available to residents at AGM and GM reports.</p> <p>This information is also provided to Lambeth's TMO Client Officer, on a monthly and quarterly basis for the Landlords performance reports.</p>
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		The Estate Director and The Management Committee Secretary will be responsible for this area
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		Lambeth's Client Officer responsible for the TMO is provided with regular reports by Wellington Mills , and they in turn report to the Cabinet member
9.6	The MRC will be responsible for ensuring the governing body receives regular information on complaints that	Y		This process is carried out by the Landlord's client officer in charge of TMOs

	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.			
9.7	<p>As a minimum, the MRC and the governing body (or equivalent) must receive:</p> <ul style="list-style-type: none"> <li>a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;</li> <li>b. regular reviews of issues and trends arising from complaint handling;</li> <li>c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and</li> <li>d. annual complaints performance and service improvement report.</li> </ul>	Y		<p>We have a monthly management Committee meeting, where the board is updated with complaints, Members enquiries and other issues</p> <p>We also provide the Lambeth Client officer (for TMOs) with information on the number, type of complaints received and timeline of response as part of our KPI</p>
9.8	<p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <ul style="list-style-type: none"> <li>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</li> <li>b. take collective responsibility for any shortfalls identified through</li> </ul>	Y		To ensure consistency in complaint handling a shared drive with information on the processes, procedures and policies in complaint handling has been made easily accessible to staff for referencing in dealing with complaints to ensure these

	complaints, rather than blaming others; and c. act within the professional standards for engaging with complaints as set by any relevant professional body.			are dealt with in a professional manner.
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