



## Appendix B – Self-Assessment Form

This self-assessment form should be completed by the complaints officer and discussed at the landlord’s governing body annually.

Evidence should be included to support all statements with additional commentary as necessary.

Explanations must also be provided where a mandatory ‘must’ requirement is not met to set out the rationale for the alternative approach adopted and why this delivers a better outcome.

### 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	Page 1 of Complaints Policy under ‘Definitions’	Definition of a complaint in Hellens Residential’s complaints policy is the same as the Housing Ombudsman Service (HOS) definition.
1.3	A resident does not have to use the word ‘complaint’ for it to be treated as such. Whenever a resident expresses dissatisfaction landlords must give them the choice to make complaint. A complaint that is submitted via a third party or representative must be handled in line with the landlord’s complaints policy.	Yes	Page 2 of Complaints Policy under the sections “Who Can Make a Complaint” & “How to Make a Complaint”	Outlines that can be submitted by a representative and will be managed in line with complaints policy.
1.4	Landlords must recognise the difference between a service request and a complaint.	Yes	Page 1 of Complaints Policy under ‘Definitions’	The policy includes the definitions of both complaint and service request.

	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.			Service requests are also monitored for trends.
<b>1.5</b>	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	Page 1 of Complaints Policy under 'Definitions'	Following completion of a service request, if the customer remains dissatisfied, the option to escalate to a complaint will be offered.
<b>1.6</b>	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	Satisfaction surveys include details of how to make a complaint.	Carry out multiple surveys per year and follow up with any customers who have expressed dissatisfaction.

**Section 2: Exclusions**

<b>Code Provision</b>	<b>Code requirement</b>	<b>Comply: Yes/No</b>	<b>Evidence</b>	<b>Commentary / Explanation</b>
<b>2.1</b>	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	Yes	Page 3 of Complaints Policy under the Exclusions section	Clearly sets out the reasons why Hellens Residential might not accept a complaint. Each case will be considered on its own merits.

	reasoning. Each complaint must be considered on its own merits			
<b>2.2</b>	<p>A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> <li>• The issue giving rise to the complaint occurred over twelve months ago.</li> <li>• Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court.</li> <li>• Matters that have previously been considered under the complaints policy.</li> </ul>	Yes	Page 3 of Complaints Policy under exclusions	Clearly sets out which matters might not be considered comply with the acceptable exclusions in the Complaint Handling Code.
<b>2.3</b>	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	Page 3 of Complaints Policy under exclusions	All complaints reviewed on their own merits.
<b>2.4</b>	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	Yes	Page 3 of Complaints Policy under exclusions	Clearly states “If Hellens Residential exclude a complaint, we will set out our reasons in writing and provide details for the Housing Ombudsman.”

	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.			
<b>2.5</b>	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Page 3 of Complaints Policy under exclusions	All complaints reviewed on their own merits. We aim to improve our service at all stages therefore welcome the feedback.

### Section 3 - Accessibility and awareness

<b>Code Provision</b>	<b>Code requirement</b>	<b>Comply: Yes/No</b>	<b>Evidence</b>	<b>Commentary / Explanation</b>
<b>3.1</b>	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	Page 2 of Complaints Policy sets out the below channels to complain:	In person: With any member of our team Via your Hellens Hub account By Telephone: 0191 594 6666 By Email: info@hellensresidential.co.uk By website: www.hellensresidential.co.uk By Post: Teal House, 10 Teal Farm Way, Washington, Tyne & Wear, NE38 8BG Complaints Policy is on the website. Cited in the Tenant Handbook provided to all new customers. Emailed link to all customers annually. Each stage is clear set out in the Policy.

				Hellens Residential website includes an Equality & Diversity section.
<b>3.2</b>	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	Page 2 of Complaints Policy	Residents can raise a complaint in any way with any member of staff. All staff are trained in our Complaints Procedure. This is reviewed in twice yearly training.
<b>3.3</b>	High volumes of complaints must not be seen as a negative, as they can be indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.	Yes	Quarterly report to the Board	Volume of complaints are monitored, trends analysed and reported to board on a quarterly basis.
<b>3.4</b>	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	Complaints Policy, Hellens Residential Website	Complaints Policy is on the website. Cited in the Tenant Handbook provided to all new customers. Emailed link to all customers annually. Each stage is clear set out in the Policy.
<b>3.5</b>	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.	Yes	Included on website, new customers onboarding information, email to all customers on an annual basis.	Communicated via email / website.
<b>3.6</b>	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to	Yes	Page 2 of Complaints Policy	Details noted in the complaints policy stating that a representative can deal with on their behalf.

	be represented or accompanied at any meeting with the landlord.			
<b>3.7</b>	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	Page 1 of Complaints Policy	Details of Housing Ombudsman provided to all customers at each Stage of Complaint and verbally / in person where that method of complaint is chosen.

#### Section 4 - Complaint handling staff

<b>Code Provision</b>	<b>Code requirement</b>	<b>Comply: Yes/No</b>	<b>Evidence</b>	<b>Commentary / Explanation</b>
<b>4.1</b>	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	The Operations Manager is the 'Complaints Officer'	The Operations Manager has overall responsibility for complaint handling, liaising with the Ombudsman and reporting to the Board.
<b>4.2</b>	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 Records	Complaints Officer undertaken e learning modules for complaints investigators. Has access to both the staff and Directors to ensure the swift dealing with of complaints.
<b>4.3</b>	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	Yes	Training Records and Complaints reporting to Board	Page 3 under 'What you can expect from Hellens Residential' Members of staff have all been on a Complaints Handling training course to ensure at all levels of the business

	must be resourced to handle complaints effectively			there is an awareness of how to act and deal with customers.
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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	Complaints Policy	Hellens Residential has a single complaints policy and procedure for all complaints.
5.2	The early and local resolution of issues between landlords and residents is key to effective complaint handling. It is not appropriate to have extra named stages (such as 'stage 0' or 'informal complaint') as this causes unnecessary confusion.	Yes	Page 2 of Complaints Policy	We have a two stage complaints process. We work with our customers within the first two days of receiving notification of dissatisfaction to clarify the exact nature of the complaint and what is needed to resolve this. We have worked across our services to embed the importance of raising formally if customers have made repeated attempts to resolve as a service request.
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	Page 2 of Complaints Policy	We have a two stage complaints process. We work with our customers within the first two days of receiving notification of dissatisfaction to clarify the exact nature of the complaint and what is needed to resolve this.

5.4	Where a landlord's complaint response is handled by a third party (e.g. a contractor or independent adjudicator) at any stage, it must form part of the two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes.	Yes	Complaints Policy	All complaints are handled inhouse and if any information required from contractors this would feed in to the complaints process not separately.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Complaints Policy	All complaints are handled by Hellens Residential and not passed to third parties.
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	Page 2 of Complaints Policy clearly states below:	We will contact customers to listen to their complaint and the details around it. We will discuss the complaint and the outcome that the customer is seeking. In response to the customer Hellens Residential's clearly sets out the understanding of the complaint.
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	Page 2 of Complaints Policy	Acknowledgement emails are sent.
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;	Yes	Complaints Policy	All complaints dealt with by senior person at Hellens Residential to ensure responsibilities upheld. Work with customer to discuss the outcome the customer is expecting and consider all the information they provide.

	<p>c) take measures to address any actual or perceived conflict of interest; and</p> <p>d) consider all relevant information and evidence carefully.</p>			
<b>5.9</b>	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	Complaints Policy	During the initial triage of the complaint we work with our customers to clarify the exact nature of the complaint and what is needed to resolve this. Where the outcome is unrealistic, we will advise the customer at the earliest opportunity.
<b>5.10</b>	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	Equality And Diversity Policy on Hellens Residential Website.	Dealt with in line with Equality and Diversity policy published on Hellens Residential's website.
<b>5.11</b>	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	Page 3 of Complains Policy under the Exclusions section.	All considered on their own merits but could be excluded based on the details outlined in exclusions section.
<b>5.12</b>	A full record must be kept of the complaint, and the outcomes at each stage. This must	Yes	CRM System for monitoring complaints.	We have developed a new process within our CRM to keep

	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.			all records relating to complaints in one place.
<b>5.13</b>	Landlords must have processes in place to ensure a complaint can be remedied at any stage of its complaints process. Landlords must ensure appropriate remedies can be provided at any stage of the complaints process without the need for escalation.	Yes	Complaints Policy	We will confirm the issues we are investigating and what is required to put things right. We will take remedial actions as soon as possible and take action to resolve any urgent issues to the relevant service area for action. For example, following a Health and Safety incident.
<b>5.14</b>	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	Unacceptable behaviour policy	Unacceptable behaviour policy is published on our website next to the Complaints Policy which outlines what will not be accepted.
<b>5.15</b>	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.	Yes	Unacceptable behaviour policy	This is reviewed in line with the Equality and Diversity policy on our website.

### Section 6 - Complaints stages

Code Provision	Code requirement	Comply: Yes/No	Evidence	Commentary / Explanation
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6.1	Landlords must have processes in place to consider which complaints can be responded to as early as possible, and which require further investigation. Landlords must consider factors such as the complexity of the complaint and whether the resident is vulnerable or at risk. Most stage 1 complaints can be resolved promptly, and an explanation, apology or resolution provided to the resident.	Yes	Complaints Policy	We speak to the customer at the earliest stage to understand the factors and complexities to see if can be resolved promptly.
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure within <b>five working days of the complaint being received.</b>	Yes	Complaints Policy Page 2	Respond in line with complaints policy.
6.3	Landlords must issue a full response to stage 1 complaints <b>within 10 working days</b> of the complaint being acknowledged.	Yes	Complaints Policy Page 2	Have met the 10 working days where possible. Only exceeded in exceptional circumstances where more time was required to investigate as agreed with the customer.
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	Complaints Policy Page 2	We aim to respond within 20 working days (unless there are mitigating reasons to extend this timescale). Any extension will be in agreement with the customer. However, the customer has the right to stop the investigation and refer themselves to the Ombudsman if they do not agree with the new timescales.

<b>6.5</b>	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes	Complaints Policy Page 1	Provide Housing Ombudsman's details should customer not agree with any proposed timescales.
<b>6.6</b>	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes	Complaints Policy	Hellens Residential never delay a complaint response unnecessarily.
<b>6.7</b>	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	Complaints Policy	Hellens Residential have produced template responses to ensure all sections of a complaint are responded to.
<b>6.8</b>	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	Complaints Policy	If any additional issues come to light during the Stage 1 complaints investigation process, then we will address those within our response wherever possible. If it is a separate issue that requires significantly more investigation, then we would log this as a separate complaint.
<b>6.9</b>	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	Complaints Policy	Use a formatted template letter to respond to complaints.

	<ul style="list-style-type: none"> <li>d) the reasons for any decisions made;</li> <li>e) the details of any remedy offered to put things right;</li> <li>f) details of any outstanding actions; and</li> <li>g) details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</li> </ul>			
<b>6.10</b>	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	Page 3 of Complaints Policy titled 'Stage Two'	Stage 2 is the final stage of Hellens Residential's policy.
<b>6.11</b>	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	Page 3 of Complaints Policy titled 'Stage Two'	Dealt with inline with the policy.
<b>6.12</b>	Residents must not be required to explain their reasons for requesting a stage 2 consideration. Landlords are expected to make reasonable efforts to understand why a resident remains unhappy as part of its stage 2 response.	Yes	Complaints Policy	We try to understand why not satisfied with the outcome however this would still progress to stage 2 on their request.
<b>6.13</b>	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.		Page 3 of Complaints Policy titled 'Stage Two' states:	"This is a process whereby the initial complaint will be reviewed by another member of staff."

6.14	Landlords must issue a final response to the stage 2 within <b>20 working days</b> of the complaint being acknowledged.	Yes	Page 3 of Complaints Policy	Hellens Residential have consistently met this target.
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	Page 3 of Complaints Policy under 'Stage Two'	Try to avoid any extension where possible and only request in exceptional circumstances.
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	Page 1 of Complaints Policy	Provide Housing Ombudsman's details should customer not agree with any proposed timescales.
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	Complaints Policy	We use a letter template based on the Housing Ombudsman's sample on their website.  We do not have a stage 3 therefore provides details of how to escalate to the Housing Ombudsman.
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	Complaints Policy	We use a letter template based on the Housing Ombudsman's sample on their website.

<p><b>6.19</b></p>	<p>Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:</p> <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> <li>g) details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.</li> </ul>	<p>Yes</p>	<p>We use a letter template based on the Housing Ombudsman's sample on their website.</p>	<p>We use a letter template based on the Housing Ombudsman's sample on their website.</p>
<p><b>6.20</b></p>	<p>Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.</p>	<p>Yes</p>	<p>Complaints Policy</p>	<p>Hellens Residential only has a two stage complaints process.</p>

**Section 7 - Putting things right**

Code Provision	Code requirement	Comply: Yes/No	Evidence	Commentary / Explanation
<p><b>7.1</b></p>	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> <li>• apologising</li> <li>• acknowledging where things have gone wrong</li> </ul>	<p>Yes</p>	<p>Dealt with on a case by case basis.</p>	<p>If we have identified through the complaints process that something has gone wrong, then we will look to address this and put things right in our response. We will ask the customer the resolution that they are seeking for their complaint to help</p>

	<ul style="list-style-type: none"> <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>			achieve this.
<b>7.2</b>	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Dealt with on a case by case basis.	Page 2 of Complaints Policy During the initial triage of the complaint we work with our customers to clarify the exact nature of the complaint and what is needed to resolve this. Where the outcome is unreasonable, unrealistic and would be unfair to our other customers we will advise the customer during triage.
<b>7.3</b>	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	Page 2 of Complaints Policy	Outlined in Complaints Response section.
<b>7.4</b>	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Dealt with on a case by case basis.	Any compensation requests reviewed on their own merits and all requests for compensation are reviewed by a Director.

**Section 8 - Self-assessment and compliance**

<b>Code Provision</b>	<b>Code requirement</b>	<b>Comply: Yes/No</b>	<b>Evidence</b>	<b>Commentary / Explanation</b>
<b>8.1</b>	<p>Landlords must produce an Annual Complaints Performance and Service Improvement report for scrutiny and challenge, which must include:</p> <p>a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements</p> <p>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</p> <p>c. any findings of non-compliance with this Code by the Ombudsman</p> <p>d. the service improvements made as a result of the learning from complaints</p> <p>e. any annual report about the landlord's performance from the Ombudsman</p> <p>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord</p>	Yes	<p>Complaints Policy 2026</p> <p>Annual Complaints Performance and service improvement 2025-26</p> <p>Seld-Assessment Form</p> <p>Board Response</p>	Reviewed by the Board in Q1 of 2025/26.
<b>8.2</b>	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	Yes	Annual Complaints Performance & Service Improvement report	Self-assessment has been reported to the Board.

	section of its website relating to complaints. The governing body's response to the report must be published alongside this.			
<b>8.3</b>	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	N/A		Will do when / if necessary going forward.
<b>8.4</b>	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	N/A	N/A	Hellens Residential have not received any Ombudsman investigations, however if were asked to review and update the self-assessment following any future investigation then this would be completed and documented directly to the Housing Ombudsman within the appropriate timescales.
<b>8.5</b>	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	This would be led by Hellens Residential's disaster recovery plan.	The Ombudsman would be informed if Hellens Residential were not able to comply with the Complaint Handling Code.

### Section 9 – Scrutiny and oversight: Continuous learning and improvement

Code Provision	Code requirement	Comply: Yes/No	Evidence	Commentary / Explanation
<b>9.1</b>	Landlords must look beyond the circumstances of the individual complaint and consider whether service	Yes	Recorded on Complaints CRM system	Review all improvement actions monthly with Managing Director.

	improvements can be made as a result of any learning from the complaint.			
<b>9.2</b>	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	Recorded on Complaints CRM system	
<b>9.3</b>	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	Annual Complaints Performance and service improvement 2025-26 Self-Assessment Form Board Response	Annual Report published on our website. Annual insight report provided to the Board. Briefing notes provided to the Board on all complaints. Findings discussed at Monthly Management meetings.
<b>9.4</b>	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		Monthly review with Managing Director to review the themes of the complaints and whether there are any system issues identified.
<b>9.5</b>	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 (MRC).	Yes		Whilst we do not have a complaints Board Champion due to owning fewer than 300 properties and a small team of employee's; the Managing Director of Hellens Residential takes responsibility for ensuring information is provided to the Governing Body. This information is in liaison with the Operations Manager

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	Operations Manager	Has access to the appropriate staff and ensure that the governing body will receive all information required.
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  d. Annual Complaints Performance and Service Improvement report.	Yes	Annual Complaints Performance and service improvement 2025-26 Board Response	Provide the annual self-assessment against the Complaint Handling Code. Due to owning fewer than 300 properties the volume and severity of complaints to date is very small therefore information to provide is limited.
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	Yes		Hellens Residential are committed to working collaboratively to resolve complaints quickly and effectively for customers. Learning from complaints is paramount to try to ensure the processes are put in place to avoid any repeat complaints. All employee's receive training on complaints and other key skills such as conflict resolution to ensure we are

	<p>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others</p> <p>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</p>			<p>communicating with our customers in the best possible way.</p>
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