

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.

Completed by:	Head of Housing and Property Management
Date:	21 March 2025

Auxesia Homes are compliant with the code when shown green

Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	<p>A complaint must be defined as:</p> <p><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></p>	Yes	<p>Complaints and Feedback Policy (Section 2).</p> <p>The Complaints and Feedback Policy can be found on our website for customers to view (https://www.auxesiahomes.co.uk/policies/).</p>	<p>This is defined in the Complaints and Feedback Policy in line with the Complaint Handling Code (Section 2).</p>
1.3	<p>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.</p>	Yes	<p>Complaints and Feedback Policy (Section 2).</p>	<p>The Complaints and Feedback Policy (Section 2) sets out clearly the various channels available to express dissatisfaction and raise a complaint. This is being supported by staff training so that staff correctly identify complaints.</p>

1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be recorded, monitored and reviewed regularly.	Yes	Complaints and Feedback Policy (Section 2).	The Complaints and Feedback Policy (Section 2) clearly sets out the difference between service requests and complaints. This is being supported by staff training so that staff correctly identify complaints.
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	Complaints and Feedback Policy (Section 2).	Customer dissatisfaction is dealt with in line with the Complaints and Feedback Policy (Section 2). Service requests are logged in the CRM system and escalated to a complaint if not completed to the customers satisfaction.
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	Yes	Complaints and Feedback Policy (Section 2).	The Complaints and Feedback Policy (Section 2) sets out clearly the various channels available to express dissatisfaction and raise a complaint. If Auxesia decides to seek wider feedback than the core TSM survey, which is

	wish to. Where landlords ask for wider feedback about their services, they also must provide details of how residents can complain.			undertaken every two years, details will be provided of how residents can complain. The TSM survey also included details of how complaints can be pursued. The Policy has been updated to more clearly reflect this situation.
--	---	--	--	--

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	Complaints and Feedback Policy (Section 2).	The Complaints and Feedback Policy (Section 2) clearly sets out what does not constitute a complaint. Where a leaseholder/tenant reaches out to a member of staff they will accept a complaint or assist with the issue even when the matter does not sit within the Auxesia Homes service delivery
2.2	A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or	Yes	Complaints and Feedback Policy (Section 2).	The Complaints and Feedback Policy (Section 2) clearly sets out what does

	<p>escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> • The issue giving rise to the complaint occurred over twelve months ago. • Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. • Matters that have previously been considered under the complaints policy. 			<p>not constitute a complaint, in line with the Complaint Handling Code. The Complaints and Feedback Policy can be found on the Auxesia website or customers can be provided with a paper copy if required.</p>
2.3	<p>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.</p>	Yes	Complaints and Feedback Policy (Section 2).	<p>The Complaints and Feedback Policy (Section 2) notes that complaints can be raised up to 12 months from the date of the issue.</p>
2.4	<p>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</p>	Yes		<p>Information is provided to customers on our reasons for not accepting a complaint and the Housing Ombudsman information provided.</p>

	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.			
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Complaints and Feedback Policy (Section 2).	The Complaints and Feedback Policy (Section 2) sets out the circumstances that do not constitute a complaint but each complaint is considered individually. This is being supported by staff training so that staff correctly identify complaints.

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	Yes	Complaints and Feedback Policy (Sections 2 and 4).	The Complaints and Feedback Policy (Section 4) sets out clearly the various channels available to express dissatisfaction and raise a complaint. In Section 2 the Policy states that Auxesia will consider any 'reasonable adjustments'.

	residents who may need to access the complaints process.			
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	Complaints and Feedback Policy (Section 4).	Auxesia has had a programme of staff training and awareness through workshops and disseminating the knowledge of Complaint Champions, that have been appointed within the team.
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		Auxesia Homes actively encourages complaints to improve services. Auxesia publicises the process through the website and in correspondence to customers.
3.4	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the two stage process, what will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord's website.	Yes	Website	Customers can make a complaint through the Contact Us page on the website (https://www.auxesiahomes.co.uk/get-in-touch/). This page also allows customers to download the Complaints and Feedback Policy or it can be accessed directly from the Policies page (https://www.auxesiahomes.co.uk/policies/).

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	Complaints and Feedback Policy (Sections 1 and 4).	The updated Complaints and Feedback Policy was drafted to meet the requirements of revised Code. Section 3 provides details of the Ombudsman and Section 1 details where the complaint policy can be found.
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	Complaints and Feedback Policy (Section 2).	Information regarding advocates acting on behalf of customers is detailed in the Complaints and Feedback Policy (Section 2).
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	Complaints and Feedback Policy (Section 3).	This right and information on the Ombudsman is included in the Complaints and Feedback Policy (Section 3). Details are also included in all correspondence from Auxesia Homes to the complainant.

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	Complaints and Feedback Policy (Section 3).	As a small provider, Auxesia has a small team but there are named job roles within the Complaints and Feedback Policy. The Complaints Officer is at manager level and has access to all staffing, as well as the MRC. The Board receive quarterly reports on complaints performance.
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 and Feedback Policy (Section 3).	The Complaints Officer is at manager level and has access to all staffing, as well as the MRC. With a small team, staff are given the autonomy, within delegated authorities, to resolve disputes promptly.
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		There has been continuous improvement and learning from the complaints that are received. Auxesia has established Complaint Champions to lead on this

	core service and must be resourced to handle complaints effectively			issue, supported by staff training and workshops.
--	---	--	--	---

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 and Feedback Policy (Section 2).	There is a single Complaints and Feedback Policy, which evidences no differentiation between complainants.
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 Policy has a two stage process, in line with the Code but staff are encouraged to resolve issues promptly.
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	Complaints and Feedback Policy (Section 3).	The Policy has a two stage process, in line with the Code.
5.4	Where a landlord's complaint response is handled by a third	Yes		Auxesia uses a third party to manage certain

	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.			aspects of its housing and property management services. Any complaints received by the third party are passed through to Auxesia for recording. Fortnightly meetings are held where complaints are discussed and dealt with.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Fortnightly meetings with third party manager.	Auxesia use a well-known third party to provide these services, who also work with other providers, so they are aware of the requirements of the Code.
5.6	When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. The Code will refer to this as “the complaint definition”. If any aspect of the complaint is unclear, the resident must be asked for clarification.	Yes	Complaints and Feedback Policy (Section 2).	The Policy sets out clear definitions and if there is any lack of clarity, residents are asked to provide clarification.
5.7	When a complaint is acknowledged at either stage, landlords must be clear which	Yes		Auxesia using standardised templates to ensure that cores

	aspects of the complaint they are, and are not, responsible for and clarify any areas where this is not clear.			aspects of the response are consistent and key details are not missed. The detail of the response is specific to each complainant. Auxesia's responsibilities to its customers are clearly set out in the correspondence.
5.8	At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> 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	Complaints and Feedback Policy (Section 3).	Section 3 of the Policy provides details of what needs to be covered at each stage and how staff should approach each complaint.
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	Yes	Complaints and Feedback Policy (Section 3).	Section 3 of the Policy sets out how Auxesia agrees revised timetables for responses if they fall outside of the Code's timescales. Staff

	them informed about their complaint.			ensure that customers are kept informed of progress.
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	Complaints and Feedback Policy (Section 2).	Reasonable adjustments are covered in Section 2 of the Policy. If any adjustments are agreed, these will be recorded as part of the complaint logging.
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 and Feedback Policy (Section 3).	Section 3 of the Policy sets out the process to be followed when dealing with a complaint in line with the Code. Any decision not to escalate a complaint will be explained to the customer and confirmed in writing.
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	Yes		All complaints are logged in a register and all documentation for each complaint is held in its own folder.

	supporting documentation such as reports or surveys.			
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		Staff are empowered to resolve complaints at the earliest opportunity. Complainants have the option to escalate their complaint at any time during the process.
5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives. Landlords must be able to evidence reasons for putting any restrictions in place and must keep restrictions under regular review.	Yes	Unacceptable Behaviour Policy (https://www.auxesiahomes.co.uk/policies/). Complaints and Feedback Policy (Section 3).	The Board approved an Unacceptable Behaviour Policy at the start of January 2024 and it available on the website. The Complaints and Feedback Policy details how restrictions are put in place and kept under 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	Unacceptable Behaviour Policy (https://www.auxesiahomes.co.uk/policies/). Complaints and Feedback Policy (Section 3).	The Policy allows for restrictions but they must be proportionate and be kept under review.

Section 6: Complaints Stages

Stage 1

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.1	Landlords must have processes in place to consider which complaints can be responded to as early as possible, and which require further investigation. Landlords must consider factors such as the complexity of the complaint and whether the resident is vulnerable or at risk. Most stage 1 complaints can be resolved promptly, and an explanation, apology or resolution provided to the resident.	Yes		The annual report on complaints demonstrates that most complaints received are settled at Stage 1. Prompts within the process encourage staff to resolve complaints promptly.
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	Complaints and Feedback Policy (Section 3).	Auxesia acknowledges complaints within 5 working days of being received in line with Code requirements.
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Complaints and Feedback Policy (Section 3).	As a small provider, Auxesia has had some challenges whilst adopting the new Code. Learning points have now been embedded within the team. Monitoring of timescales will be improved

				through greater management input.
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	Sometimes the complaint resolution is not	Sometimes the complaint resolution is not directly available to Auxesia as the responsibility lies with a supplier, which is often the case with defects on new properties. Auxesia does ensure that complainants are kept informed.
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		All written correspondence with complainants includes contact details of the Ombudsman. Verbal updates also refer to these details, which are available in the 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	Complaints and Feedback Policy (Section 3).	Full explanations of actions being undertaken are communicated to complainants. This can be in person, by email or phone call and are recorded in the Complaints Log.
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	Complaints and Feedback Policy (Section 2).	Definitions are clearly set out in the Policy. Where decisions are communicated, there are

				supported by any necessary policies or laws.
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	Complaints and Feedback Policy (Section 3).	The Policy sets out the process to follow in these situations.
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"> 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	Complaints and Feedback Policy (Section 3).	Auxesia uses standard template letters to ensure all the core information is included. Clear information is provided back to customers regarding the process in line with the guidance in the Code. Letters are generally posted or emailed.

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	Complaints and Feedback Policy (Section 3).	Section 3 of the Policy provides clear details of how staff should respond at each stage and the details to be included when communicating with complainants.
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	Complaints and Feedback Policy (Section 3).	Section 3 of the Policy provides clear details of how staff should respond at each stage and the details to be included when communicating with complainants.
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	Complaints and Feedback Policy (Section 3).	Staff will seek to understand why the complainant remains unhappy and has escalated the complaint to stage 2.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Complaints and Feedback Policy (Section 3).	The Policy notes that more senior staff (Head of Housing and Property Management) will be involved at stage 2.
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	Complaints and Feedback Policy (Section 3).	Set out in Section 3 of the 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	Complaints and Feedback Policy (Section 3).	Set out in Section 3 of the 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	Complaints and Feedback Policy (Section 3).	Set out in Section 3 of the Policy and included with the standard templates used.
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 and Feedback Policy (Section 3).	A full response is provided to the customer once the investigation is complete. Any remedial action is tracked to ensure a positive outcome.
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 and Feedback Policy (Section 2).	Definitions are clearly set out in the Policy. Where decisions are communicated, there are supported by any necessary policies or laws.
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;	Yes	Complaints and Feedback Policy (Section 3).	Auxesia uses standard template letters to ensure all the core information is included. Clear information is provided back to

	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.			customers regarding the process in line with the guidance in the Code. Letters are generally posted or emailed.
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes		All relevant staff are involved in the stage 2 process and agreeing the response.

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: <ul style="list-style-type: none"> • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; 	Yes	Complaints and Feedback Policy (Section 3).	Section 3 of the Policy provides details around resolution and the actions to take. The template letters also help with this providing a framework to work within where Auxesia must acknowledge that there was a service failure.

	<ul style="list-style-type: none"> • Taking action if there has been delay; • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; • Providing a financial remedy; • Changing policies, procedures or practices. 			
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Complaints and Feedback Policy (Section 3).	Section 3 of the Policy provides details around resolution and the actions to take. The template letters also help with this providing a framework to work within where Auxesia must acknowledge that there was a service failure.
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	Complaints and Feedback Policy (Section 3).	Section 3 of the Policy provides details around resolution and the actions to take. The template letters also help with this providing a framework to work within where Auxesia must acknowledge that there was a service failure.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Complaints and Feedback Policy (Section 3).	Auxesia takes account of the Ombudsman's guidance when considering any appropriate remedies.

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	Annual complaints performance and service improvement report published on the website.	Auxesia presents an annual complaints performance and service improvement report to the Board for review. This provides more details than in the quarterly complaint reporting, including themes identified from the complaints and performance monitoring. The report also includes the latest self-assessment against the Code.
8.2	The annual complaints performance and service improvement report must	Yes	Annual complaints performance and service improvement report	The report is discussed with the MRC prior to being

	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.		and Board response published on the website.	presented to the Board for a formal response, which is published on the website.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes		A self-assessment would be carried out if this was the case.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes		A self-assessment would be carried out if this was the case.
8.5	If a landlord is unable to comply with the Code due to exceptional circumstances, such as a cyber incident, they must inform the Ombudsman, provide information to residents who may be affected, and publish this on their website Landlords must provide a timescale for returning to compliance with the Code.	Yes		The Ombudsman would be informed if this was the case.

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		Learning from complaints has resulted in procedural changes, such as using recorded delivery where customers claim not to have received communications.
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		Auxesia uses learning from complaints to identify issues and improve services. The recording of defects on handover was changed as a result of complaints raised.
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		As a small provider, Auxesia is working on its customer engagement activity but will promote learning from complaints more widely.
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 Head of Service has been appointed as lead, with an experienced member of staff as Complaints Officer.

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		The MRC is currently the CEO, who sits on the Board.
9.6	The MRC will be responsible for ensuring the governing body receives regular information on complaints that provides insight on the landlord's complaint handling performance. This person must have access to suitable information and staff to perform this role and report on their findings.	Yes		The CEO reports to Board on complaints performance as part of the quarterly operational performance report.
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: <ul style="list-style-type: none"> a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and 	Yes		

	d. annual complaints performance and service improvement report.			
9.8	<p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <p>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</p> <p>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</p> <p>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</p>	Yes		<p>Auxesia have invested heavily over the past year in training staff to raise the importance of complaints within the organisation. Auxesia now meet with its third party management agent on a fortnightly basis and pick up any issues around complaints at that meeting.</p>