

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	MTVH complaints policy (PDF)	Within Section 2 of the Complaints policy "Scope & Definitions" the term Complaint is defined.
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	MTVH complaints policy (PDF)	Section 2 defines a complaint and confirms residents do not need to use the word 'complaint' for their dissatisfaction to be treated as one. Section 1 confirms colleagues will offer residents the opportunity to make a complaint whenever an expression of dissatisfaction is received, and Section 3.1 confirms complaints may be made by a representative with the resident's consent.
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	Yes	MTVH complaints policy (PDF)	Within Section 2 of the Complaints policy Scope & Definitions the term Service Request is defined. Service requests received via the complaints process are

	something right. Service requests are not complaints, but must be recorded, monitored and reviewed regularly.			recorded and reported quarterly to Customer Services Committee.
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	MTVH complaints policy (PDF)	Section 3.1 confirms that where a resident is dissatisfied with how a service request has been handled, a complaint can be raised even if the original issue remains ongoing. The policy also states that making a complaint will not prevent or delay MTVH from continuing to deal with the original service request.
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	MTVH complaints policy (PDF) Customer-Insight-Procedure-2-1.pdf	This is included in our Customer Insight procedure (pages 4 and 5). The Customer Insight and Customer Voice teams are aware of this requirement and have completed e-learning to support with opening complaints if required.

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	MTVH complaints policy (PDF)	Section 3.6 – Outlined under “What is excluded from the complaints process”.
2.2	A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include: • The issue giving rise to the complaint occurred over twelve months ago. • Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. • Matters that have previously been considered under the complaints policy.	Yes	MTVH complaints policy (PDF)	Section 3.6 “What’s excluded from the complaints process” details what is excluded from the Complaints Process
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	Yes	MTVH complaints policy (PDF)	Section 3.5 “Timeframe for responding to complaints” addresses complaints discretion made outside of the timeframe, also see Appendix 1.

	complaints made outside this time limit where there are good reasons to do so.			
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	MTVH complaints policy (PDF)	Section 3.6 confirms that where a complaint is excluded, MTVH will write to the resident explaining the reasons for the decision and provide contact details for the relevant Ombudsman so the resident can take the matter further if they wish.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	MTVH complaints policy (PDF)	3.6 “What is excluded from the Complaints Process” each complaint will be considered on its own merits, and in some cases, we may still consider a complaint which would normally be excluded, at our discretion, if there compelling reasons to do so.

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	MTVH complaints policy (PDF)	Section 3.1 “How you can make a complaint”, section 5 outlines other support organisations and section 7 outline Our commitment to Equality, Diversity and inclusion. Further information is also provided on our website: <u>Make a complaint about MTVH - Metropolitan Thames Valley</u>
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	MTVH complaints policy (PDF)	Section 3.1 Any complaints made to an MTVH representative will be referred to our Customer Care Team for acknowledgement and investigation if a local resolution has not been possible. Expressions of dissatisfaction received via social media will be signposted to our online complaints’ portal, section 4 Our responsibilities

				Commentary: All colleagues complete e-learning to ensure awareness of how to open a complaint for a resident.
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	MTVH complaints policy (PDF)	Section 1 Purpose - complaint volumes are shared quarterly with the Member Responsible for Complaints and Customer Services Committee who support the organisation to ensure compliance with the Code.
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	MTVH complaints policy (PDF) <u>Make a complaint about MTVH - Metropolitan Thames Valley</u>	Our Complaint Policy is available to view on the MTVH website and includes a summary webpage to ensure it is compatible with most accessibility software. All colleagues complete e-learning to enable them to advise and support residents who may be unable to use digital, written or telephone means to make a complaint.
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	MTVH complaints policy (PDF)	Section 1 confirms the policy is published on MTVH's website alongside information about Ombudsmen and regulators, and is also publicised in the 'How to Complain' leaflet provided to customers at sign-

				up. This supports clear publication of the complaints policy and related Ombudsman information. and where we publicise.
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	MTVH complaints policy (PDF)	Section 3.1 How you can make a complaint, explains that the resident doesn't have to make the complaint themselves they can nominate someone else on their behalf
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	MTVH complaints policy (PDF) Information about the Ombudsman Service is published on our website: Make a complaint about MTVH - Metropolitan Thames Valley	Section 3.6 and Appendix 1 Residents are informed of their right to access the Ombudsman service when a complaint is refused or accepted, when we request a response timescale extension, and in our response letters at stage 2.

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	MTVH complaints policy (PDF)	Section 3.1 The Customer Care team are responsible for complaint handling. The Lead Accountable Person for complaints is the Executive Director of Customer Services
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	MTVH complaints policy (PDF)	Section 4 outlines Our responsibilities all colleagues are trained on our internal procedures to ensure the can gain a resolution and understand how to escalate
4.3	Landlords are expected to prioritise complaint handling and a culture of learning from complaints. All relevant staff must be suitably trained in the importance of complaint handling. It is important that complaints are seen as a core service and must be resourced to handle complaints effectively	Yes	MTVH complaints policy (PDF)	Section 1 and 4 All colleagues complete a complaints e-learning module and have a customer focused annual objective which includes a complaint and learning focus.

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	MTVH complaints policy (PDF)	A single complaint policy is in place. Appendix 1 of the Complaints Policy details all relevant Ombudsmen services available to resident. Complaints Policy Section 4 Our responsibilities point 3 outlines how complaints will be handled without bias.
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	MTVH complaints policy (PDF)	Section 3.2 How we assess your complaint outlines the process to receiving a complaint
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	MTVH complaints policy (PDF)	Section 3.3 How we handle your complaint and 3.4 Stage 2 outline the 2 stages of the process
5.4	Where a landlord's complaint response is handled by a third party (e.g. a contractor	Yes		

	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.		MTVH complaints policy (PDF)	Section 3.1 confirms MTVH's Customer Care Team manages all complaints, including those relating to contractors or third parties acting on MTVH's behalf. These complaints are handled within MTVH's single two-stage complaints process, so residents are not required to complete a separate complaints process with a contractor or third party. A two-stage complaints process is in place, as outlined in the Complaints Policy and complaints
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	MTVH complaints policy (PDF)	Section 3.1 confirms MTVH retains responsibility for complaints about contractors and third parties acting on its behalf. These complaints are managed by the Customer Care Team in line with MTVH's Complaints Policy and 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	MTVH complaints policy (PDF)	Section 3.2 How we assess your complaint advises we will respond to the resident with our understanding of their 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	MTVH complaints policy (PDF)	Section 3.2 How we assess your complaint; we explain which elements of complaint are or are not part of the complaints process we will explain how these will be dealt with in the acknowledgement letter
5.8	At each stage of the complaints process, complaint handlers must: a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully.	Yes	MTVH complaints policy (PDF)	Section 3.2 “How we assess your complaint” demonstrates the points outlined and “Section 4” demonstrates we handle complaints with an open mind and without bias
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	MTVH complaints policy (PDF)	Section 3.5 Timeframes for responding to complaints and Appendix 1
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	Yes	MTVH complaints policy (PDF) Diverse-Needs-and-Vulnerabilities-Policy.pdf	Section 3.1 Our approach talks about accessibility, Section 5 Our responsibilities our case handlers are trained to identify customers’ needs and how to ensure they are logged on the system, and Section 7, Our

	adjustments must be kept under active review.			commitment to Equality, Diversity and inclusion In our diverse needs and Vulnerabilities policy under section 3.4 and 3.5 we outline the ways in which we support our customers and the importance of recording customer vulnerabilities
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	MTVH complaints policy (PDF)	Section 3.3 How we handle your complaint and section 3.5 Timeframes for responding to complaints
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	CRM complaint case records and complaint handling procedures	Complaints are managed through the CRM system, which records the original complaint, dates received, correspondence, supporting evidence, decisions, outcomes and any follow-up actions in line with the Code.
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	MTVH complaints policy (PDF) Customer Remedies Policy	Section 3.3, How we handle your complaint, explains how resolution and financial remedies are considered. The Customer Remedies Policy section 3 provides guidance where MTVH has fallen short of service standards.

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	<u>Unreasonable-behaviour-policy.pdf</u>	This policy is in place and remains subject to periodic review to ensure restrictions are proportionate, evidence-based and aligned with the Equality Act 2010.
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	<u>Unreasonable-behaviour-policy.pdf</u>	Section 5 of the Complaints policy demonstrates our commitment to Equality, Diversity and Inclusion

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	MTVH complaints policy (PDF)	Section 3.2 outlines how we assess and triage your complaint to ensure we are dealing with concerns in the most effective way.
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaint's procedure <u>within five working days of the complaint being received</u> .	Yes	MTVH complaints policy (PDF)	Section 3.5 Timeframes for handling complaints set out in the Ombudsman code of practice and within Appendix 1, Section 3
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	MTVH complaints policy (PDF)	Section 3.5 Timeframes for handling complaints and within Appendix 1, Section 3
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	Yes	MTVH complaints policy (PDF)	Section 3.5 we will always try and resolve a complaint without an extension, but when dealing with complex cases the complaint will be assessed and discussed with the

	reason(s) must be clearly explained to the resident.			resident, gaining permission to extend.
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	MTVH complaints policy (PDF)	Section 3.5 Timescales to handling complaints we contact the resident to advise of timescales and agree in sign posting to the Ombudsman's contact information when extension requests are agreed with residents.
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	MTVH complaints policy (PDF)	Section 3.3 How we handle your complaint section where further actions are required an action plan are provided when appropriate
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	MTVH complaints policy (PDF)	Section 3.3 and 3.4 addresses how we handle complaints and reference relevant policies.
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	Yes	MTVH complaints policy (PDF)	Section 3.3 How we handle your complaint addresses where additional complaints are made during the initial investigation we will include these in our response to the original complaint unless investigating these issues will

	issues must be logged as a new complaint.			cause an unreasonable delay to our response
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.	Yes	MTVH complaints policy (PDF)	Section 3.3 confirms that complaint responses will acknowledge what has gone wrong and set out the actions taken or intended to put things right. Stage 1 responses also confirm the complaint stage, complaint definition, decision, reasons for the decision, remedy offered, outstanding actions where applicable, and how to escalate to stage 2 if the resident remains dissatisfied.

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	MTVH complaints policy (PDF)	Section 3.4 Stage 2 complaints and Appendix 1
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	MTVH complaints policy (PDF)	Section 3.4 and Appendix 1, Section 3

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	MTVH complaints policy (PDF)	Section 3.4 Stage 2 complaints we will conduct a full review of stage 1
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	MTVH complaints policy (PDF)	Section 3.4 stage two complaint will always be considered by someone not involved in the stage 1 complaint
6.14	Landlords must issue a final response to the stage 2 within 20 working days of the complaint being acknowledged.	Yes	MTVH complaints policy (PDF)	Section 3.5 Timeframes for responding to complaints and Appendix 1, Section 3
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	MTVH complaints policy (PDF)	Section 3.5, Timeframes for responding to complaints, confirms that where complexity means additional time is required, we inform the resident of the reason for the extension, the revised response date and their right to contact the Ombudsman. See also Appendix 1, Section 3.
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	MTVH complaints policy (PDF)	Ombudsman contact information is provided when extension requests are agreed with residents for Stage 1 and 2 see Appendix 1 section Two Stage Ombudsman.

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	MTVH complaints policy (PDF)	Section 3.2 How we assess your complaint Action plans are provided when appropriate and recorded within CRM system
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	MTVH complaints policy (PDF)	Section 3.3 How we handle your complaint when providing a resolution to a complaint we will reference changes to policy, procedures and practices
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: - the complaint stage; - the complaint definition; - the decision on the complaint; - the reasons for any decisions made; - the details of any remedy offered to put things right; - details of any outstanding actions; and - details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.	Yes	MTVH complaints policy (PDF)	Section 3.3 confirms that complaint responses will acknowledge what has gone wrong and set out the actions taken or intended to put things right. Stage 2 responses are the final response and include the complaint stage, complaint definition, decision, reasons for the decision, remedy offered, outstanding actions where applicable, and details of how to escalate to the Ombudsman if the resident remains dissatisfied.
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	MTVH complaints policy (PDF)	Section 3.4 Stage 2 complaints, Section 4 Our

				responsibilities, and Appendix 1
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Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include: • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; • Taking action if there has been delay; • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; • Providing a financial remedy; • Changing policies, procedures or practices.	Yes	MTVH complaints policy (PDF) Customer Remedies Policy	Complaints Policy Section 3.3 How we handle your complaint Customer Remedies Policy Section 3– Remedies & Section 4 Compensation financial remedies
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	MTVH complaints policy (PDF) Customer Remedies Policy	Section 3.3 How we handle your complaint Section 3.1 What we mean by a remedy
7.3	The remedy offer must clearly set out what will happen and by when, in agreement with the resident where appropriate. Any	Yes	MTVH complaints policy (PDF) Customer Remedies Policy	Section 3.3. How we handle your Complaint and remedy is

	remedy proposed must be followed through to completion.			tracked and logged via CRM until completion Section 4.7 of the Customer Remedies policy Compensation Claims
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Customer Remedies Policy	Section 3.1 What we mean by a remedy

Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include: a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.	Yes	MTVH complaints policy (PDF) <u>Complaints performance - Metropolitan Thames Valley</u>	Section 4 Our Responsibilities Commentary: The Annual Complaints Performance and Service Improvement Report is published on the main MTVH website alongside the self-assessment and governing body response. Customer scrutiny feedback continues to be used to strengthen the quality, transparency and accessibility of future reports.
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.	Yes	MTVH complaints policy (PDF) <u>Complaints performance - Metropolitan Thames Valley</u>	Section 4 Our responsibilities outlines the approach and shared on the website

	The governing body's response to the report must be published alongside this.			
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	A self-assessment completed as required	Implemented the recommended changes from the Duty to Monitor findings, including a review of the complaints policy and resubmission of the annual Self-Assessment
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	A self-assessment completed as required	Implemented the recommended changes from the Duty to Monitor findings, including a review of the complaints policy and accompanying appendices. resubmission of the annual Self-Assessment
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	This requirement will be fulfilled if required	MTVH has had no exceptional circumstances where it has been unable to comply with the Code. If such circumstances occur, MTVH would inform the Ombudsman, provide information to affected residents, publish an update on the website and confirm the timescale for returning to compliance.

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	MTVH complaints policy (PDF) <u>Complaints performance - Metropolitan Thames Valley</u>	Complaints Policy Section 1 Purpose, and 3.3 and learnings shared in the Complaints performance report
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	MTVH complaints policy (PDF) <u>Complaints performance - Metropolitan Thames Valley</u> Customer Voice Framework	Complaints Policy Section 1 confirms that complaints are recorded and analysed to identify recurring issues, themes and learning, and to improve procedures and policies where required. MTVH is also introducing a Fairness and Learning Forum, supported by a resident panel, to provide scrutiny and challenge on complaint themes, learning and service improvement actions. This will strengthen accountability by enabling residents to hold MTVH to account for how learning from complaints is identified, acted on and embedded into service delivery.
9.3	Accountability and transparency are also integral to a positive complaint handling	Yes	<u>Complaints performance - Metropolitan Thames Valley</u>	Complaints insight is reported quarterly to senior leadership

	culture. Landlords must report back on wider learning and improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees.			team and Customer Services Committee. Complaint insight is shared with resident panels on a regular basis.
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	<u>Board and executive - Metropolitan Thames Valley</u>	Executive Director of Customer Services is the Lead Accountable Person for Complaints
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	<u>Board and executive - Metropolitan Thames Valley</u>	The Chair of the Customer Services Committee, Helen Cope is the Member Responsible for Complaints.
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	Quarterly Customer Services Committee reporting and MRC updates	Updates from the MRC are shared regularly the Board. Complaints & HOS performance, insights and learning are reported quarterly to the Customer Services Committee focused on assurance to positive complaint governance, compliance to the code, and positive complaints culture
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,	Yes	Quarterly complaints performance, HOS reporting and Annual Complaints Performance and Service Improvement Report	Updates from the MRC are shared regularly to the Board. Complaints reported quarterly to the Customer Services

	alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and d. annual complaints performance and service improvement report.			Committee focused on assurance to positive complaint governance, compliance to the code, and positive complaints culture The annual complaints performance and service improvement report is shared with the Customer Services Committee in Q1 each financial year.
9.8	Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to: a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments; b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and c. act within the professional standards for engaging with complaints as set by any relevant professional body.	Yes	Colleague objectives, mandatory complaints e-learning and Contractor Code of Conduct	All colleagues have a standard objective relating to customer experience and complaint handling. A standard e-learning module relating to complaint handling is mandatory for all colleagues. Third party providers are required to abide by the MTVH Contractor Code of Conduct.