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: *'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.'*	Yes	4.1.1 of our Complaints, Compliments and Comments Policy.	This is the definition we use within our complaints policy.
1.3	A resident does not have to use the word 'complaint' for it to be treated as such. Whenever a resident expresses dissatisfaction landlords must give them the choice to make complaint. A complaint that is submitted via a third party or representative must be handled in line with the landlord's complaints policy.	Yes	4.4.1, 4.1.2 and 2.2 of our Complaints, Compliments and Comments Policy	We explain within our complaints policy that an expression of dissatisfaction is recognised as a complaint and that a third party or representative complaint will be handled in line with our complaints policy.
1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be	Yes	4.1.1, 4.1.3 and 4.2.1 of our Complaints, Compliments and Comments Policy	We set out the difference between service requests and complaints within our complaints policy in the sections mentioned.

	recorded, monitored and reviewed regularly.			
1.5	A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains.	Yes	4.4.1 of our Complaints, Compliments and Comments Policy	We will continue to work on a customers service request, even if a complaint is raised and this is explained in our complaints policy.
1.6	An expression of dissatisfaction with services made through a survey is not defined as a complaint, though wherever possible, the person completing the survey should be made aware of how they can pursue a complaint if they wish to. Where landlords ask for wider feedback about their services, they also must provide details of how residents can complain.	Yes	4.4.2 of our Complaints, Compliments and Comments Policy	We explain we won't consider expressions of dissatisfaction made through a survey as a complaint. However, when we ask for feedback on our services, we will signpost customers to our complaints service within our complaints policy.

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	4.4.2 of our Complaints, Compliments and Comments Policy	Section 4.4.2 within our complaints policy provides a list of reasons that we may not accept a complaint, but confirms that each complaint will be considered based on its individual circumstances.
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.	Yes	4.4.2 of our Complaints, Compliments and Comments Policy	Section 4.4.2 within our complaints policy provides a list of reasons that we may not accept a complaint, but confirms that each complaint will be considered based on its individual circumstances.

	• Matters that have previously been considered under the complaints policy.			
2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.	Yes	4.4.1 of our Complaints, Compliments and Comments Policy	We explain in section 4.4.1 that complaints should be made within a reasonable timeframe. We will usually only investigate issues that have occurred within the last 12 months or issues which customers have become aware of within the last 12 months. Where the problem is reoccurring, we may consider older reports as background to the complaint.
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	4.4.2 of our Complaints, Compliments and Comments Policy	Section of 4.4.2 states If we do decide not to accept a complaint, we will provide an explanation to the customer explaining why the matter is not suitable for the complaints process and the right to take that decision to the Housing Ombudsman Service. We will record any instances where we do decide not to raise a complaint.

2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	4.4.2 of our Complaints, Compliments and Comments Policy	Section 4.4.2 states We will consider the individual circumstances of each complaint. However, there are instances when the Stonewater Group won't accept a complaint.

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	4.4.1 and 6.0 – 6.3 of our Complaints, Compliments and Comments Policy	Within section 4.4.1 we explain that We will accept complaints face to face, over telephone, email, online form on our websites, or in writing. Complaints made over social media should be made over direct message to Stonewater's Facebook Messenger account. When a customer expresses dissatisfaction, the option to raise a complaint will be offered. A customer doesn't have to wait until the end of their interaction with us before expressing dissatisfaction. Section 6.0 – 6.3 explains about our equality, diversity and inclusion processes. We also explain our approach to reasonable adjustments within our Equality, Diversity and Inclusion Policy.
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	Yes	2.7 and 4.4.1 of our Complaints, Compliments and Comments Policy	Section 2.7 states We will ensure all our colleagues understand our Complaints, Compliments and Comments policy and processes and can refer customers to our

	complaints process and be able to pass details of the complaint to the appropriate person within the landlord.			complaints service and 4.4.1 states Our Customer Relations Team is our "complaint officer". The Customer Relations Team is responsible for liaising with the Housing Ombudsman Service and reporting our performance on complaints to our Board. We will ensure we manage complaints fairly by providing support to our customers and focusing on fast resolution. Our colleagues have authority to act to resolve complaints and have access to colleagues at every level
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	2.5 of our Complaints, Compliments and Comments Policy	Section 2.5 explains Learning from customer complaints, compliments and comments is a priority for the Stonewater Group. We embrace a positive complaints culture, where we welcome complaints as an opportunity to learn and improve our services as well as to restore and maintain good relationships with our 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	Yes	4.5 of our Complaints, Compliments and Comments Policy	We make our Complaints, Compliments and Comments Policy available on our websites, including: **Stonewater** https://www.stonewater.org/about-us/what-we-do/policies/

	must also be published on the landlord's website.			We publicise our complaints service through customer friendly guide and webpage, making information available in accessible formats and a range of languages. https://www.stonewater.org/customers/get-support/making-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	1.1 and 4.5.7 of our Complaints, Compliments and Comments Policy	Section 1.1 states this policy sets out how Stonewater Group approaches complaints, compliments and comments. We will ensure it is shared widely with customers, including on our websites, social media channels and across our regular communication to customers. 4.5.7 explains about the HOS process.
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	2.2, 2.3 and 2.4 of our Complaints, Compliments and Comments Policy	Sections 2.2 – 2.4 explains about the processes for using a representative.
3.7	Landlords must provide residents with information on their right to access the Ombudsman service and how the individual can	Yes	4.5.7 of our Complaints, Compliments and Comments Policy	4.5.7 explains about the HOS process.

	engage with the Ombudsman about their complaint.			

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	4.4.1 of our Complaints, Compliments and Comments Policy	4.4.1 states Our Customer Relations Team is our "complaint officer". The Customer Relations Team is responsible for liaising with the Housing Ombudsman Service and reporting our performance on complaints to our Board. We will ensure we manage complaints fairly by providing support to our customers and focusing on fast resolution. Our colleagues have authority to act to resolve complaints and have access to colleagues at every level
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	4.4.1 of our Complaints, Compliments and Comments Policy	4.4.1 states Our Customer Relations Team is our "complaint officer". The Customer Relations Team is responsible for liaising with the Housing Ombudsman

				Service and reporting our performance on complaints to our Board. We will ensure we manage complaints fairly by providing support to our customers and focusing on fast resolution. Our colleagues have authority to act to resolve complaints and have access to colleagues at every level
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	2.5 – 2.7, 4.5.2 and 4.5.4 of our Complaints, Compliments and Comments Policy	Sections 2.5 – 2.7 sets our expectations for learning from complaints, having a positive complaints culture and prioritisation of complaint. It also explains how all of our colleagues understand our complaints policy and services. 4.5.2 explains our approach to complaints, training and performance management while 4.5.4 states that we prioritise learning from complaints.

Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.	Yes	We have a group-wide Complaints, Compliments and Comments Policy	We only have one Complaints, Commitments and Comments policy as evidenced on our website Housing Association | Social Housing Provider | Stonewater | Stonewater
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	We have a two-stage process as outlined in 4.5 of our Complaints, Compliments and Comments Policy	Section 4.5 provides an explanation of our complaints process, including that it is only two steps.
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	We have a two-stage process as outlined in 4.5 of our Complaints, Compliments and Comments Policy	Section 4.5 provides an explanation of our complaints process, including that it is only two steps.
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	We have a two-stage process as outlined in 4.5 of our Complaints, Compliments and Comments Policy. Customers are not expected to go through two complaints processes.	Section 4.5 provides an explanation of our complaints process, including that it is only two steps.

5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes		Third parties do not handle complaints on Stonewater's behalf.
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	4.5 of our Complaints, Compliments and Comments Policy	Section 4.5 provides an explanation of our complaints process.
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	4.5 of our Complaints, Compliments and Comments Policy	Section 4.5 provides an explanation of our complaints process.
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	4.4.1, 4.4.6 and 4.5.2 of our Complaints, Compliments and Comments Policy	4.4.1 states we will ensure we manage complaints fairly by providing support to our customers and focusing on fast resolution and 4.4.6 states Where the customer is also an employee, they will still have full access to the complaint process, but extra steps will be taken to ensure their privacy and

				restrict access to their complaint records Section 4.5 provides an explanation of our complaints process.
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	4.5.5 and 4.5.6 of our Complaints, Compliments and Comments Policy	4.5.5 and 4.5.6 provide full details of stage one and two processes including timescales and communication levels.
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	6.0 – 6.5 of our Complaints, Compliments and Comments Policy	This section of our complaints policy provides full details on Equality, Diversity and Inclusion. We also explain our approach to reasonable adjustments within our Equality, Diversity and Inclusion Policy
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	4.4.2 and 4.5.6 of our Complaints, Compliments and Comments Policy	4.4.2 explains the circumstances and process for if we won't accept a complaint and 4.5.6 explains the stage two process in full.
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	Yes	4.5.3 of our Complaints, Compliments and Comments Policy	4.5.3 explains all complaints received will be monitored against key milestone dates in line with our two-step

	correspondence with the resident, correspondence with other parties, and any relevant supporting documentation such as reports or surveys.			complaints procedure. We will keep a full record of the complaint, our response and correspondence with customers at every stage
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	4.5.9 of our Complaints, Compliments and Comments Policy	4.5.9 explains our processes and the actions we will take to learn and put things right.
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	4.4.2 of Complaints, Compliments and Comments Policy Our Managed Relationships Policy	We explain in section 4.4.2 that If a customer's behaviour is deemed to be unreasonable, in which case we will follow our Managed Relationships Policy.
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	4.4.2 of Complaints, Compliments and Comments Policy Our Managed Relationships Policy Our Equality, Diversity & Inclusion Policy	We explain in section 4.4.2 that If a customer's behaviour is deemed to be unreasonable, in which case we will follow our Managed Relationships Policy.

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	4.5.5 of our Complaints, Compliments and Comments Policy	4.5.5 explains our stage one process in full, including timescales.
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure **within five working days of the complaint being received**.	Yes	4.5.5 of our Complaints, Compliments and Comments Policy	4.5.5 explains our stage one process in full, including timescales.
6.3	Landlords must issue a full response to stage 1 complaints **within 10 working days** of the complaint being acknowledged.	Yes	4.5.5 of our Complaints, Compliments and Comments Policy	4.5.5 explains our stage one process in full, including timescales.
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	Yes	4.5.5 of our Complaints, Compliments and Comments Policy	4.5.5 explains our stage one process in full, including timescales.

	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.			
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	4.5.5 of our Complaints, Compliments and Comments Policy	4.5.5 explains our stage one process in full, including timescales.
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	4.5.8 of our Complaints, Compliments and Comments Policy	Section 4.5.8 states A complaint response will be provided to our customers when the answer to the complaint is known. We will monitor any commitments or outstanding actions made in complaint responses to ensure they are delivered. We will make sure we keep customers updated. We use our Complaint Commitment Tracker to track commitments. This is reviewed by Heads of Service at our Complaints Delivery Group on a weekly basis.

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	4.5.5 of our Complaints, Compliments and Comments Policy	4.5.5 explains our stage one process in full, including timescales and response details.
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	4.5.5 of our Complaints, Compliments and Comments Policy	4.5.5 explains our stage one process in full, including timescales and response details.
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	4.5.5 of our Complaints, Compliments and Comments Policy	4.5.5 explains our stage one process in full, including timescales and response details.

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	4.5.6 of our Complaints, Compliments and Comments Policy	4.5.6 explains our stage two process in full, including timescales and response details.
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	4.5.6 of our Complaints, Compliments and Comments Policy	4.5.6 explains our stage two process in full, including timescales and response details.
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	4.5.6 of our Complaints, Compliments and Comments Policy	4.5.6 explains our stage two process in full, including timescales and response details.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	4.5.6 of our Complaints, Compliments and Comments Policy	4.5.6 explains our stage two process in full, including timescales and response details.
6.14	Landlords must issue a final response to the stage 2 **within 20 working days** of the complaint being acknowledged.	Yes	4.5.6 of our Complaints, Compliments and Comments Policy	4.5.6 explains our stage two process in full, including timescales and response details.

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	4.5.6 of our Complaints, Compliments and Comments Policy	4.5.6 explains our stage two process in full, including timescales and response details.
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	4.5.6 of our Complaints, Compliments and Comments Policy	4.5.6 explains our stage two process in full, including timescales and response details.
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	4.5.8 of our Complaints, Compliments and Comments Policy	Section 4.5.8 states A complaint response will be provided to our customers when the answer to the complaint is known. We will monitor any commitments or outstanding actions made in complaint responses to ensure they are delivered. We will make sure we keep customers updated. We use our Complaint Commitment Tracker to track commitments. This is reviewed by Heads of Service at our Complaints

				Delivery Group on a weekly basis.
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	4.5.6 of our Complaints, Compliments and Comments Policy	4.5.6 explains our stage two process in full, including timescales and response details.
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.	Yes	4.5.6 of our Complaints, Compliments and Comments Policy	4.5.6 explains our stage two process in full, including timescales and response details.
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	4.5.6 of our Complaints, Compliments and Comments Policy	4.5.6 explains our stage two process in full, including timescales and response details.

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	4.5.9 of our Complaints, Compliments and Comments Policy	4.5.9 provides full details on remedies we will take to put right failures.
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	4.5.9 of our Complaints, Compliments and Comments Policy	4.5.9 provides full details on remedies we will take to put right failures.
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	4.5.8 and 4.5.9 of our Complaints, Compliments and Comments Policy	4.5.9 provides full details on remedies we will take to put right failures.

7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	4.5.9 of our Complaints, Compliments and Comments Policy	4.5.9 provides full details on remedies we will take to put right failures. Our Compensation Policy provides a detailed overview of our approach to remedies, reflecting guidance from the Housing Ombudsman Service.

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	5.3.2 of our Complaints, Compliments and Comments Policy	5.3.2 states Stonewater Group Board will produce, publish and submit Annual Complaints Performance and Service Improvement Reports in line with the Housing Ombudsman Service's requirements for scrutiny and challenge, which will include: • The annual self-assessment against the Complaint Handling Code • A qualitative and quantitative analysis of the landlord's complaint handling performance. This will include a summary of the types of complaints the landlord has refused to accept • Any findings of non-compliance with the Complaint Handling Code by the

				Housing Ombudsman Service • Service improvements made as a result of the learning from complaints • Any annual report about the landlord's performance from the Housing Ombudsman Service • Any other relevant reports or publications produced by the Housing Ombudsman Service in relation to the work of the landlord • Our Board's response to the report
8.2	The annual complaints performance and service improvement report must be reported to the landlord's governing body (or equivalent) and published on the on the section of its website relating to complaints. The governing body's response to the report must be published alongside this.	Yes	5.3.2 of our Complaints, Compliments and Comments Policy	5.3.2 states Stonewater Group Board will produce, publish and submit Annual Complaints Performance and Service Improvement Reports in line with the Housing Ombudsman Service's requirements for scrutiny and challenge, which will include: • The annual self-assessment against the Complaint Handling Code

				• A qualitative and quantitative analysis of the landlord's complaint handling performance. This will include a summary of the types of complaints the landlord has refused to accept • Any findings of non-compliance with the Complaint Handling Code by the Housing Ombudsman Service • Service improvements made as a result of the learning from complaints • Any annual report about the landlord's performance from the Housing Ombudsman Service • Any other relevant reports or publications produced by the Housing Ombudsman Service in relation to the work of the landlord • Our Board's response to the report

8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	5.3.3 of our Complaints, Compliments and Comments Policy	5.3.3 states We will also undertake self-assessments against the Complaint Handling Code following a significant restructure or change in procedures or if asked to do so by the Housing Ombudsman
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	5.3.3 of our Complaints, Compliments and Comments Policy	5.3.3 states We will also undertake self-assessments against the Complaint Handling Code following a significant restructure or change in procedures or if asked to do so by the Housing Ombudsman
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	5.3.4 of our Complaints, Compliments and Comments Policy We also have included this requirement in our business continuity plans.	5.3.4 states if we find we're unable to comply with the code due to exceptional circumstances, such as a cyber incident, we will inform the Housing Ombudsman Service, provide information to customers and update our website at the earliest opportunity.

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	2.5 and 4.5.4 of our Complaints, Compliments and Comments Policy explain our approach to learning from complaints.	Learning from complaints is reported to our Board. We also seek the views of customers on our complaints service through our Customer Complaints Learning Panel.
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	2.5 and 4.5.4 of our Complaints, Compliments and Comments Policy explain our approach to learning from complaints.	Learning from complaints is reported to our Board quarterly. We also seek the views of customers on our complaints service through our Customer Complaints Learning Panel.
9.3	Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from	Yes	5.1 and 5.3 of our Complaints, Compliments and Comments Policy outlines our approach to reporting learning from complaints.	**Stonewater** We report on learning from complaints to colleagues, customers and relevant committees. We do this through numerous channels including in our Customer Annual Reviews, newsletters and customer updates on our Customer Hubb.

	complaints to stakeholders, such as residents' panels, staff and relevant committees.			https://www.stonewater.org/customers/get-involved/customer-hubb/ https://thehubb.stonewater.org/tag/complaints/ One example is through our learning posts on complaints within the hubb such as Learning from complaints - September to December 2025 - The Stonewater Customer hubb We also involve customers in our learning through our Customer Complaints Learning Panel and Scrutiny Panel.
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	5.2.2 of our Complaints, Compliments and Comments Policy	5.2.2 confirms Our Chief Operating Officer is responsible for complaint handling across the Stonewater Group. This includes assessing trends to drive service improvement.
9.5	In addition to this a member of the governing body (or equivalent) must be appointed to have lead responsibility for	Yes	5.2.1 of our Complaints, Compliments and Comments Policy	5.2.1 confirms Stonewater Group Board will appoint a Member Responsible for Complaints, who will have responsibility for promoting a positive complaint handling culture

	complaints to support a positive complaint handling culture. This person is referred to as the Member Responsible for Complaints ('the MRC').			and ensuring the Board receives regular information on complaints that provides insight on our complaint handling performance.
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	5.2.1 and 5.3 of our Complaints, Compliments and Comments Policy	5.2.1 Stonewater Group Board will appoint a Member Responsible for Complaints, who will have responsibility for promoting a positive complaint handling culture and ensuring the Board receives regular information on complaints that provides insight on our complaint handling performance. 5.3 provides information on our oversight of complaints and learnings
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	Yes	5.3 of our Complaints, Compliments and Comments Policy	5.3 provides information on our oversight of complaints and learnings

	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.			
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	Yes	4.5.2 of our Complaints, Compliments and Comments Policy	4.5.2 confirms all complaint handlers will approach complaints with an open mind, ensuring customers have an opportunity to set out their position. We will also ensure complaint handlers are suitably trained and have performance objectives to support complaint handling excellence and promote collaboration and acting in line with professional standards

	c. act within the professional standards for engaging with complaints as set by any relevant professional body.			