

## 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.

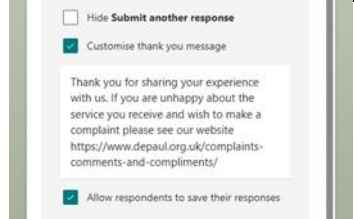
Once approved, landlords must publish the self-assessment as part of the annual complaints performance and service improvement report on their website. The governing body's response to the report must be published alongside this.

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	Complaints, Comments and Compliments Policy and Procedure	Standard definition adopted into complaints policy, published on website.
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	Complaints, Comments and Compliments Policy and Procedure	Policy Extract – How we will handle a complaint. <i>The word ‘complaint’ does not have to be used. However, we will distinguish between a Service Request, Feedback and a Formal Complaint.</i>
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	Yes	Complaints, Comments and Compliments Policy and Procedure	Policy Extract - 5.4 Service Requests

	be 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	Complaints, Comments and Compliments Policy and Procedure	Policy Extract - <i>A formal Stage 1 complaint will be raised if the customer raises dissatisfaction with the response to their service request or if substantial further enquiries are needed to resolve the matter.</i>
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	<p>Screenshot of text used in survey sent to residents 2025 signposting how to make complaint at end of survey.</p> 	All surveys include a link to the complaint section of our website.

## 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	All complaints received are reviewed. If for any reason a complaint was not accepted processes are in place requiring approvals from Directors to ensure robust and fair system.	See Policy sections 5.3 Exemptions to this policy and 5.7 Malicious, Vexatious, Offensive and Discriminatory Complaints. In all circumstances complainants will be provided a full explanation in writing.
2.2	<p>A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> <li>• The issue giving rise to the complaint occurred over twelve months ago.</li> <li>• Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court.</li> </ul>	Yes	Complaints, Comments and Compliments Policy and Procedure	See Policy sections 5.3 Exemptions to this policy and 5.7 Malicious, Vexatious, Offensive and Discriminatory Complaints.

	<ul style="list-style-type: none"> <li>Matters that have previously been considered under the complaints policy.</li> </ul>			
2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.	Yes	Complaints, Comments and Compliments Policy and Procedure – all complaints are reviewed on a case by case basis.	See Policy sections 5.3 Exemptions to this policy and 5.7 Malicious, Vexatious, Offensive and Discriminatory Complaints.
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	Complaints, Comments and Compliments Policy and Procedure – all complaints are reviewed on a case by case basis.	In all circumstances complainants will be provided a full explanation in writing.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Complaints, Comments and Compliments Policy and Procedure – all complaints are reviewed on a case by case basis.	Depaul UK's Quality and Compliance Manager is the organisational Complaints Officer and will review any complaints that may be considered for exclusion.

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	Complaints, Comments and Compliments Policy and Procedure	<i>Policy Extract - We will treat all customers respectfully during and after an investigation into their complaint, the principles of the Equalities Act 2010 will apply to protect against direct and indirect discrimination, harassment or victimisation in services and public functions, for people who are perceived to have, or are associated with, someone who has a protected characteristic.</i>
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, Comments and Compliments Policy and Procedure	Complaints briefings delivered to all staff, complaints handling e-learning and refresher training delivered as identified.
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	Yes	Complaints, Comments and Compliments Policy and Procedure	We recognise complaints as an important feedback mechanism. Complaints performance is monitored

	complaint volumes are potentially a sign that residents are unable to complain.			and reported upon to our Boards. We also monitor complaints performance via our internal inspection programme.
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	Complaints, Comments and Compliments Policy and Procedure.	Policy published on our website, in resident welcome packs, posters available with QR codes to access webform in all premises.
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, Comments and Compliments Policy and Procedure.	Policy and website include details of how we will publicise complaint policy and signposting to Ombudsman and Complaint Handling Code.
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, Comments and Compliments Policy and Procedure.	See policy section 5.2 Who can make a complaint – this details how residents can have an advocate.
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, Comments and Compliments Policy and Procedure	We refer to the role of the Ombudsman in our policy and on our website. In 2026 we will be including Housing Ombudsman posters in our

				standard display requirements.
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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, Comments and Compliments Policy and Procedure	Depaul UK, Quality and Compliance Manager is the Complaints Officer, this is set out in our policy.
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, Comments and Compliments Policy and Procedure	The Complaints Officer is a member of Depaul UK Leadership Group and suitable authorised to facilitate resolution.
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	Complaints, Comments and Compliments Policy and Procedure	Complaint handling e-learning, briefings and resources are refreshed regularly. Complaints reported upon quarterly to Boards.

## 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, Comments and Compliments Policy and Procedure	Complaints are welcomed as an important feedback mechanism.
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	Complaints, Comments and Compliments Policy and Procedure	Two stage complaints process adopted inline with the Complaint Handling Code. Housing Ombudsman dispute resolution principles form the basis of our policy approach, where we aim to get things right the first time.
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, Comments and Compliments Policy and Procedure	Two stage complaints process inline with the Complaint handling Code.
5.4	Where a landlord's complaint response is handled by a third party (e.g. a contractor or independent adjudicator) at any stage, it must form part of the two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes.	Yes	Complaints, Comments and Compliments Policy and Procedure	See policy section 2 application and scope.

5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Complaints, Comments and Compliments Policy and Procedure	Managing Agents acting on behalf of Depaul Housing Services must handles complaints inline with the Complaint Handling 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, Comments and Compliments Policy and Procedure	See policy section 5.5 Complaint stages ‘what we will do’.
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	Complaints, Comments and Compliments Policy and Procedure	Where we are not responsible for an aspect of a complaint this is set out in the acknowledgement letter to the complainant, providing appropriate signposting and support to the correct organisation as applicable.
5.8	At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> <li>a. deal with complaints on their merits, act independently, and have an open mind;</li> <li>b. give the resident a fair chance to set out their position;</li> </ul>	Yes	Complaints, Comments and Compliments Policy and Procedure	Complaint handling tools include guidance on how to conduct an investigation and reference to the Housing Ombudsman resources.

	<p>c. take measures to address any actual or perceived conflict of interest; and</p> <p>d. consider all relevant information and evidence carefully.</p>			
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	Complaints, Comments and Compliments Policy and Procedure	See policy section 5.5 Complaint stages 'what we will do' – we will contact the resident at suitable intervals to keep them informed about their complaint.
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, Comments and Compliments Policy and Procedure	See policy section 5.1 how we will handle a complaint. Records of resident disabilities and any adjustments requested will be recorded on client files.
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, Comments and Compliments Policy and Procedure	In all circumstances complainants will be provided a full explanation in writing. Approvals must be provided by Directors if a complaint is refused.
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	Complaints and associated records are recorded and stored on our client record management system.	Our complaint recording system enables the upload of files and attachments for all correspondence, alongside the investigating officers findings and report.
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	Complaints, Comments and Compliments Policy and Procedure	Investigating officers are authorised to provide suitable remedies to complaints at all stages. Our quality team provide oversight and support to investigating officers as required.
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	Behaviour Management Policy and Procedure; Anti-social Behaviour Policy and Procedure	Behaviour standards are set out in our house rules and resident information at sign up. Any unacceptable behaviour is managed via our behaviour management policy, with moving forward agreements setting out steps and reviews for any restrictions.
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	Behaviour Management Policy and Procedure; Anti-social Behaviour Policy and Procedure	Any restrictions on contact are risk assessed and managed based upon the individual needs and circumstances, ensuring

				these are fair and proportionate.
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## 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	Complaints, Comments and Compliments Policy and Procedure	We aim to respond to all complaints as soon as possible. Complaints received via our webform are reviewed by our quality team to ensure we have understood the complaint and recommend prompt resolution.
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <b><u>within five working days of the complaint being received.</u></b>	Yes	Complaints, Comments and Compliments Policy and Procedure	See policy section 5.5 Complaint stages 'what we will do'
6.3	Landlords must issue a full response to stage 1 complaints <b><u>within 10 working days</u></b> of the complaint being acknowledged.	Yes	Complaints, Comments and Compliments Policy and Procedure	See policy section 5.5 Complaint stages 'what we will do'
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	Complaints, Comments and Compliments Policy and Procedure	See policy section 5.5 Complaint stages 'what we will do'

	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	Complaints, Comments and Compliments Policy and Procedure	See policy section 5.5 Complaint stages 'what we will do'
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, Comments and Compliments Policy and Procedure	Complaints responses are provided as soon as the answer is known. Where further actions are required, such as a repair, this is tracked until completion and the resident's kept informed.
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, Comments and Compliments Policy and Procedure	Where complaints are complex or involve multiple matters we will categorise these and explain to the resident our approach, responding to each point in turn.
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	Yes	Complaints, Comments and Compliments Policy and Procedure	See policy section 5.5 Complaint stages 'Stage complaint'

	unrelated to the issues already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.			
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> <li>g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</li> </ul>	Yes	Complaints, Comments and Compliments Policy and Procedure	Complaint handling tools include guidance on how to conduct an investigation and templates that set out what must be included in outcome letters.

### 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, Comments and Compliments Policy and Procedure	See policy section 5.5 Complaint stages 'Stage 2 complaint'

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, Comments and Compliments Policy and Procedure	See policy section 5.5 Complaint stages 'Stage 2 complaint' 'what we will do'
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, Comments and Compliments Policy and Procedure	See policy section 5.5 Complaint stages Stage 2 complaint
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, Comments and Compliments Policy and Procedure	See policy section 5.5 Complaint stages Stage 2 complaint
6.14	Landlords must issue a final response to the stage 2 <b><u>within 20 working days</u></b> of the complaint being acknowledged.	Yes	Complaints, Comments and Compliments Policy and Procedure	See policy section 5.5 Complaint stages 'Stage 2 complaint' 'what we will do'
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, Comments and Compliments Policy and Procedure	See policy section 5.5 Complaint stages 'Stage 2 complaint' 'what we will do'
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, Comments and Compliments Policy and Procedure	See policy section 5.5 Complaint stages 'Stage 2 complaint' 'what we will do'

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, Comments and Compliments Policy and Procedure	Complaints responses are provided as soon as the answer is known. Where further actions are required, such as a repair, this is tracked until completion and the resident's kept informed
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, Comments and Compliments Policy and Procedure	Where complaints are complex or involve multiple matters we will categorise these and explain to the resident our approach, responding to each point in turn.
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	Complaints, Comments and Compliments Policy and Procedure	Complaint handling tools include guidance on how to conduct an investigation and templates that set out what must be included in outcome letters.

6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Complaints, Comments and Compliments Policy and Procedure	See policy section 5.5 Complaint stages 'Stage 2 complaint' 'what we will do'
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## Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> <li>• Apologising;</li> <li>• Acknowledging where things have gone wrong;</li> <li>• Providing an explanation, assistance or reasons;</li> <li>• Taking action if there has been delay;</li> <li>• Reconsidering or changing a decision;</li> <li>• Amending a record or adding a correction or addendum;</li> <li>• Providing a financial remedy;</li> <li>• Changing policies, procedures or practices.</li> </ul>	Yes	Complaints, Comments and Compliments Policy and Procedure	See policy section 5.5 Complaint stages 'Stage 1 complaint' 'what we will do'
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Complaints, Comments and Compliments Policy and Procedure	See policy section 5.5 Complaint stages 'Stage 1 complaint' 'what we will do'

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, Comments and Compliments Policy and Procedure	Complaint handling tools include guidance on how to conduct an investigation and templates that set out what must be included in outcome letters.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Complaints, Comments and Compliments Policy and Procedure	Complaint Handling Code and guidance forms the basis of our approach.

## Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> <li>a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.</li> <li>b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept;</li> <li>c. any findings of non-compliance with this Code by the Ombudsman;</li> <li>d. the service improvements made as a result of the learning from complaints;</li> <li>e. any annual report about the landlord's performance from the Ombudsman; and</li> <li>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</li> </ul>	Yes	Annual complaints performance and service improvement report published on website.	This is completed annually by the Quality and Compliance Manager, alongside review of our policy to ensure continued relevance and that learning it embedded.

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	Annual complaints performance and service improvement report published on website.	The report is received and responded to by our Board and this forms part of our annual governance schedule.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	This is noted in our Service Mobilisation/ De-Mobilisation policy and procedures.	We will carry out a self-assessment following significant restructure, merger or changes.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	Completed and published on our website.	We are committed to continuous improvement and take seriously our obligations as a Landlord.
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	Complaints, Comments and Compliments Policy and Procedure	See policy section 3 – Legislation and 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	Complaints, Comments and Compliments Policy and Procedure	Plans to improve our recording system to help us better evidence the improvements we make as a result of learning.
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	Complaints, Comments and Compliments Policy and Procedure	We set increasing the number of complaints received as a target in 2024/25, which we achieved. Complaints are recognised as a valuable source of feedback.
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	We report quarterly to our Boards on complaints performance, this includes learning and improvements.	We publish our annual complaint reports on our website and share this through our client communication channels.
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	Complaints, Comments and Compliments Policy and Procedure	Our Complaints Officer is a member of Depaul UK's Leadership Group, they are responsible for our Complaints policies and procedures. Depaul UK's Executive Director of Operations receives and

				scrutinises complaints reports.
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	Complaints, Comments and Compliments Policy and Procedure	Mike McCall is the MRC for Depaul Housing Services and names in our policy.
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	Complaints, Comments and Compliments Policy and Procedure	Annual complaints performance report. Our MRC attended the Housing Ombudsman MRC Conference 2025.
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with	Yes	Complaints, Comments and Compliments Policy and Procedure	Quarterly complaint reports are received by our Depaul UK Boards, this will be shared with Depaul Housing Services in 2026.

	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 c. act within the professional standards for engaging with complaints as set by any relevant professional body.	Yes	Complaints, Comments and Compliments Policy and Procedure	We regularly brief our staff in complaint handling, it forms part. We review complaints with staff teams as part of our internal inspection programme.