

## **Appendix A: Self-assessment form: Derby City Council/Derby Homes 2026/27**

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.

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**Section 1: Definition of a complaint**

[Complaints Policy 2026](#)

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                                                     | Comply: Yes / No | Evidence                           | Commentary / explanation                                                                                     |
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| 1.2            | A complaint must be defined as:<br><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 Policy Section 3.1      | The Complaints Policy reflects the Ombudsman definition                                                      |
| 1.3            | A resident does not have to use the word 'complaint' for it to be treated as such. Whenever a resident expresses dissatisfaction landlords must give them the choice to make complaint. A complaint that is submitted via a third party or representative must be handled in line with the landlord's complaints policy.                             | Yes              | Complaints Policy Sections 3.1 & 4 | The Complaints Policy reflects the Ombudsman definition and confirms third party complaints are accepted     |
| 1.4            | Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be recorded, monitored and reviewed regularly. | Yes              | Complaints Policy Section 3.3      | The Complaints Policy distinguishes service requests from complaints and sets out how both are handled.      |
| 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                                                                                                                                              | Yes              | Complaints Policy Section 3.4      | The Complaints Policy clarifies a complaint can be raised in these circumstances alongside the issue itself. |

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|     | their efforts to address the service request if the resident complains.                                                                                                                                                                                                                                                                                            |     |                                                        |                                                                                                                                                                                           |
| 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 | Complaints Policy<br>Section 3.3<br><br>Staff Training | Where a customer expresses dissatisfaction in a transactional and perception survey, staff are trained to advise the customer how they can make a complaint, or raise it on their behalf. |

## Section 2: Exclusions

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Comply: Yes / No | Evidence                           | Commentary / explanation                                                                                                                                                                |
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| 2.1            | Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint they must be able to evidence their reasoning. Each complaint must be considered on its own merits                                                                                                                                                                                                                                                      | Yes              | Complaints Policy Sections 8.1–8.3 | The Complaints Policy sets out exclusions, applies discretion where there is good reason, and says each complaint is reviewed on its own merit. Where excluded, this will be explained. |
| 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> <p>1.1 The issue giving rise to the complaint occurred over twelve months ago.</p> <p>1.2 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.</p> | Yes              | Complaints Policy Section 8.3      | The Complaints Policy sets out circumstances where matters will not be considered as complaints.                                                                                        |

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|     | 1.3 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 | Complaints Policy Section 8.1        | Complaints should be made within 12 months; discretion may be applied where there is good reason.                    |
| 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 Policy Section 8.2        | If a complaint is not accepted, the customer is given an explanation and contact details for the relevant Ombudsman. |
| 2.5 | Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.                                                                                                                                                                                                                                             | Yes | Complaints Policy Sections 6.1 & 8.2 | Complaints are individually investigated and exclusions are reviewed on their own merit.                             |



### Section 3: Accessibility and Awareness

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                | Comply: Yes / No | Evidence                                                          | Commentary / explanation                                                                                                                                                                          |
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| 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 Policy Sections 5 & 9                                  | Derby Homes provides multiple complaint channels and covers support needs and reasonable adjustments.                                                                                             |
| 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 Policy Sections 5 & 6.2<br>Colleague briefing sessions | Complaints can be made through any of the listed channels and are handled by the dedicated Complaints and Feedback Team. Colleagues are updated frequently on our approach to service complaints. |
| 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                                                                                                                            | Yes              | Complaints Policy Section 1.4                                     | We do not view high complaint volumes negatively. Low volumes are analysed to ensure people can complain.                                                                                         |

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|     | sign that residents are unable to complain.                                                                                                                                                                                                                                      |     |                                                                  |                                                                                                            |
| 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 Policy Sections 1.2 & 7                               | The Policy is publicised and sets out the two-stage process and response timescales clearly.               |
| 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 Policy Section 1.5 & 11                               | Policy is publicised through the website, social media, Derby Homes News and other regular communications. |
| 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 Policy Section 4                                      | We accept complaints from representatives                                                                  |
| 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 Policy Section 11.1<br>All complaint letter templates | Customers can access Ombudsman services at any time and access is promoted at every stage.                 |

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**Section 4: Complaint Handling Staff**

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                                     | Comply: Yes / No | Evidence                                                    | Commentary / explanation                                                                                                                                               |
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| 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 Policy Section 6.2                               | The dedicated Complaint and Feedback Team handles complaints, liaises with the Ombudsman and re                                                                        |
| 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 Policy Sections 6.2 & 6.6                        | The team has authority and autonomy and can coordinate specialist information from all relevant departments.                                                           |
| 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 Policy Section 13<br>Colleague briefing sessions | The team report on complaint handling performance. The team prioritise complaint handling and influence a culture of learning from complaints across the organisation. |

## Section 5: The Complaint Handling Process

| Code provision | Code requirement                                                                                                                                                                                                                                                                  | Comply: Yes / No | Evidence                                 | Commentary / explanation                                                                                                  |
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| 5.1            | Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.                                                                                                                        | Yes              | Complaints Policy                        | The policy provides a single two-stage complaints process. The service to the customer continues regardless of complaint. |
| 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 Policy Sections 1.1–1.3 & 7.2 | The policy aims to resolve requests and complaints at the earliest opportunity.                                           |
| 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 Policy Section 7.1            | Confirms that the complaints process has two stages.                                                                      |
| 5.4            | Where a landlord's complaint response is handled by a third party (e.g. a contractor or independent adjudicator) at any stage, it must form part of the two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes. | Yes              | Complaints Policy Section 6              | All complaints, including complaints about contractors, are handled by the Derby Homes Complaints Team.                   |

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| 5.5 | Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.                                                                                                                                                                                                                   | Yes | Complaints Policy Section 6                                                                  | All complaints, including complaints about contractors, are handled by the Derby Homes Complaints Team.                                                                                                                |
| 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 Policy Sections 7.4–7.5 & 7.17–7.18<br>Complaint acknowledgment letter templates  | At both stages the complaint is clarified, outcomes sought are understood and the complaint definition is confirmed in writing                                                                                         |
| 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 Policy Sections 7.4–7.5 & 7.17–7.18<br>Complaint acknowledgment letter templates  | At both stages the complaint is clarified, outcomes sought are understood and the complaint definition is confirmed in writing. We outline aspects for which Derby Homes is not liable, and signpost wherever possible |
| 5.8 | At each stage of the complaints process, complaint handlers must:<br>a. deal with complaints on their merits, act independently, and have an open mind;                                                                                                                                                                  | Yes | Complaints Policy Section 6.5.<br>Daily and monthly complaint team meetings include training | Complaints are handled on their merits, independently and with an open mind, with a fair opportunity to set out the case and relevant evidence considered.                                                             |

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|      | <ul style="list-style-type: none"> <li>b. give the resident a fair chance to set out their position;</li> <li>c. take measures to address any actual or perceived conflict of interest; and</li> <li>d. consider all relevant information and evidence carefully.</li> </ul>                                     |     |                                                                              |                                                                                                                                             |
| 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 Policy Sections 7.21–7.24                                         | Extensions are agreed with the customer and suitable intervals for updates are considered where timescales go beyond the extended period.   |
| 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 Policy, Section 9 and specifically Section 9.4 'About You' survey | Reasonable adjustments are identified, recorded and kept under review. We refer customers to the 'About You' survey to capture information. |
| 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 Policy Section 7.11                                               | Customers can escalate a stage one complaint to stage two if dissatisfied.                                                                  |

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| 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 Policy Section 12.1                                                    | Full complaint records, stage outcomes, correspondence, extensions and supporting documentation are kept on our Housing Management and document storage systems.                                                                |
| 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 Policy Section 12.3; Remedy and Redress Policy Sections 2.2, 3.3 & 5.2 | Systems are in place to remedy complaints at any stage. The Remedy and Redress Policy applies to the formal complaints process and requires consideration of practical action and early resolution at the earliest opportunity. |
| 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 | Complaints Policy Section 10; Unacceptable Customer Behaviour Policy              | Unacceptable behaviour is managed and refers to the Unacceptable Customer Behaviour 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 | Complaints Policy Section 10.2                                                    | Contact management will be proportionate and in line with the Equality Act 2010.                                                                                                                                                |

## Section 6: Complaints Stages

### Stage 1

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                                                                                                        | Comply: Yes / No | Evidence                             | Commentary / explanation                                                                                                                                                    |
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| 6.1            | Landlords must have processes in place to consider which complaints can be responded to as early as possible, and which require further investigation. Landlords must consider factors such as the complexity of the complaint and whether the resident is vulnerable or at risk. Most stage 1 complaints can be resolved promptly, and an explanation, apology or resolution provided to the resident. | Yes              | Complaints Policy Sections 1.1 & 9.3 | Complaints are considered individually, taking account of complexity and whether the customer is vulnerable or at risk; the policy aims to resolve complaints at stage one. |
| 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 Policy Section 7.3 & 7.5  | Complaints are logged, acknowledged and defined within five working days.                                                                                                   |
| 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 Policy Section 7.3 & 7.9  | Stage one full response is due within 10 working days of acknowledgement.                                                                                                   |
| 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                                                                                                                                                                                   | Yes              | Complaints Policy Sections 7.21–7.23 | Extensions are considered based on complexity, agreed with the customer and limited to 10 working days without good reason.                                                 |

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|     | 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 Policy Section 7.22<br>Extension letter templates             | Relevant Ombudsman details are provided when an extension is confirmed.                                                                                         |
| 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 Policy Section 7.10;<br>Remedy and Redress Policy Section 7.2 | Responses are issued when the answer is known; outstanding actions are tracked and updated. Practical remedies include completing outstanding repairs/services. |
| 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 Policy Section 7.9                                            | All points in the complaint definition are addressed with clear reasons, referencing relevant policy, law and good practice where appropriate.                  |
| 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                                                  | Yes | Complaints Policy Section 7.6                                            | Related additional matters are incorporated before the stage one response; otherwise they are logged as a new complaint where appropriate.                      |

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|     | 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.                                                                                                                                                                                                                                                                                                                                                                                                                       |     |                               |                                                                                                                                                                                 |
| 6.9 | <p>Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language:</p> <ul style="list-style-type: none"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> <li>g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</li> </ul> | Yes | Complaints Policy Section 7.9 | The Complaints Policy lists the required stage one written response information, including definition, decision, reasons, remedy, outstanding actions and stage two escalation. |

Stage 2

| Code provision | Code requirement                                                                                                                                         | Comply: Yes / No | Evidence                               | Commentary / explanation                                                                 |
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| 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. | Yes              | Complaints Policy Sections 7.11 & 7.14 | Customers can escalate dissatisfaction to stage two and stage two is the final response. |

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|      | Stage 2 is the landlord's final response.                                                                                                                                                                                                                                                                                         |     |                                      |                                                                                                                             |
| 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 Policy Section 7.18       | Stage two complaints are logged, acknowledged and defined within five working days.                                         |
| 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 Policy Section 7.13       | Customers do not have to explain why they remain dissatisfied; Derby Homes will make reasonable efforts to understand this. |
| 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 Policy Section 7.15       | The stage two investigator is never the same person as the stage one investigator.                                          |
| 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 Policy Section 7.16       | Stage two full response is due within 20 working days of acknowledgement.                                                   |
| 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 Policy Sections 7.21–7.23 | Extensions are considered based on complexity, agreed with the customer and limited to 20 working days without good reason. |

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| 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 Policy Section 7.22<br>Extension letter templates             | Relevant Ombudsman details are provided when an extension is confirmed.                                                                                                         |
| 6.17 | A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.                             | Yes | Complaints Policy Section 7.20;<br>Remedy and Redress Policy Section 7.2 | Responses are issued when the answer is known and outstanding actions are tracked and updated. Practical remedies include completing outstanding repairs/services.              |
| 6.18 | Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.                                                                                                                                   | Yes | Complaints Policy Section 7.19                                           | All points in the complaint definition are addressed with clear reasons, referencing relevant policy, law and good practice where appropriate.                                  |
| 6.19 | Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:<br>a. the complaint stage;<br>b. the complaint definition;<br>c. the decision on the complaint;<br>d. the reasons for any decisions made;<br>e. the details of any remedy offered to put things right; | Yes | Complaints Policy Section 7.19                                           | The Complaints Policy lists the required stage two written response information, including definition, decision, reasons, remedy, outstanding actions and Ombudsman escalation. |

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|      | <p>f. details of any outstanding actions; and</p> <p>g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.</p> |     |                                             |                                                                                                                                  |
| 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 Policy Sections 6.6, 7.14 & 7.17 | The central team coordinates specialist information from relevant departments and the stage two review is independently handled. |

**Section 7: Putting things right**

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Comply: Yes / No | Evidence                                                                    | Commentary / explanation                                                                                                                                                                                 |
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| 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> </ul> | Yes              | Complaints Policy Section 7.9; Remedy and Redress Policy Sections 5.1, 6-10 | Responses set out remedies to put things right. The Remedy and Redress Policy provides for apology/explanation, action and redress. Redress levels are aligned with Housing Ombudsman Remedies Guidance. |

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|     | <ul style="list-style-type: none"> <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> |     |                                                                                          |                                                                                                                                                                                      |
| 7.2 | Any remedy offered must reflect the impact on the resident as a result of any fault identified.                                                                                                           | Yes | Remedy and Redress Policy Sections 1.3, 1.5, 3.2 & 4.1–4.2                               | Remedies must be fair, proportionate and reflective of individual circumstances and the impact on the customer.                                                                      |
| 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 Policy Sections 7.9–7.10; 12.2; Remedy and Redress Policy Sections 5.2 & 7-10 | Remedies and outstanding actions are set out in responses, tracked and progressed. The Remedy Policy requires remedies at the earliest opportunity and identifies practical actions. |
| 7.4 | Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.                                                                                                | Yes | Remedy and Redress Policy Section 3.1                                                    | The policy expressly aligns with Housing Ombudsman Compensation Guidance, Remedies Guidance and Dispute Resolution Principles.                                                       |

Section 8: Self-assessment, reporting and compliance

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Comply: Yes / No | Evidence                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Commentary / explanation                                                                                                                                                                                      |
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| 8.1            | Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:<br>a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.<br>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;<br>c. any findings of non-compliance with this Code by the Ombudsman;<br>d. the service improvements made as a result of the learning from complaints;<br>e. any annual report about the landlord's performance from the Ombudsman; and<br>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. | Yes              | Complaints Policy Section 12.6<br>We will produce an annual complaints performance and service improvement report for scrutiny and challenge, which includes:<br><ul style="list-style-type: none"><li>the annual self-assessment against this Code to ensure our complaint handling policy remains in line with its requirements.</li><li>a qualitative and quantitative analysis of our complaint handling performance. This includes a summary of the types of complaints we have refused to accept;</li><li>any findings of non-compliance with the Code;</li><li>the service improvements made as a result of the learning from complaints;</li><li>our performance in relation to Ombudsman's determinations; and</li></ul> | The Complaints Policy sets out the required annual complaints performance and service improvement report, including self-assessment, performance analysis, refusals, Ombudsman findings, learning and reports |

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|     |                                                                                                                                                                                                                                                                                                    |     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                      |
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|     |                                                                                                                                                                                                                                                                                                    |     | <ul style="list-style-type: none"> <li>• any other relevant reports or publications from the Ombudsman's.</li> <li>• Derby City Council's response to the annual report.</li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                      |
| 8.2 | <p>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.</p> | Yes | <p>Complaints Policy Section 12.6<br/>We will produce an annual complaints performance and service improvement report for scrutiny and challenge, which includes:</p> <ul style="list-style-type: none"> <li>• the annual self-assessment against this Code to ensure our complaint handling policy remains in line with its requirements.</li> <li>• a qualitative and quantitative analysis of our complaint handling performance. This includes a summary of the types of complaints we have refused to accept;</li> <li>• any findings of non-compliance with the Code;</li> <li>• the service improvements made as a result of the learning from complaints;</li> <li>• our performance in relation to Ombudsman's determinations; and</li> </ul> | <p>The Complaints Policy sets out the required annual complaints performance and service improvement report, including self-assessment, performance analysis, refusals, Ombudsman findings, learning and reports</p> |

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|     |                                                                                                                                  |     | <ul style="list-style-type: none"> <li>any other relevant reports or publications from the Ombudsman's.</li> <li>Derby City Council's response to the annual report.</li> </ul> |                                                                                                                                                                                                                                                               |
| 8.3 | Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.         | Yes | Annual self-assessments.                                                                                                                                                        | <p>The Complaints and Engagement team was reviewed as part of the introduction of the Quality and Consumer Regulation service area. This was implemented in June 2024.</p> <p>Annual self-assessments have been subsequent to this and refer to the Team.</p> |
| 8.4 | Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.                            | Yes | Annual self-assessments.                                                                                                                                                        | The Complaints Policy has been subject to Housing Ombudsman Review and recommendations. Derby Homes complied with those recommendations in full, and this was approved as compliant in August 2026                                                            |
| 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 | Yes | Business Continuity and Disaster Recovery Plan                                                                                                                                  | Business continuity arrangements are in place for serious interruptions and major incidents. Where an                                                                                                                                                         |

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|  | <p>Ombudsman, provide information to residents who may be affected, and publish this on their website</p> <p>Landlords must provide a timescale for returning to compliance with the Code.</p> |  |  | <p>exceptional incident affects complaint handling, affected residents will be kept informed and the Ombudsman notified where applicable. A timescale for returning to normal complaint handling arrangements will be provided where required.</p> |
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Section 9: Scrutiny & oversight: continuous learning and improvement

| Code provision | Code requirement                                                                                                                                                                                                                                     | Comply: Yes / No | Evidence                                                             | Commentary / explanation                                                                                                                                                    |
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| 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 Policy Section 13.3; Remedy and Redress Policy Section 14 | Derby Homes looks beyond individual complaints and considers service improvements; remedy outcomes are also monitored for recurring failures and improvement opportunities. |
| 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 Policy Sections 1.1 & 13.3                                | Complaints are used as intelligence to identify issues and introduce positive changes in service delivery through Lessons Learned.                                          |
| 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              | Complaints Policy Section 13.4                                       | Wider learning and improvements are reported annually and more frequently through governance including the Board and Operational Committee.                                 |
| 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,                                                                | Yes              | Complaints Policy Section 13.5                                       | A suitably senior manager oversees complaint handling performance and assesses themes, trends,                                                                              |

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|     | serious risks, or policies and procedures that require revision.                                                                                                                                                                                                                                                                                                                                 |     |                                                                                                                                              | systemic issues, risks and policies requiring revision.                                                                                                                                                                |
| 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 Policy Section 13.7                                                                                                               | Derby Homes has a Member Responsible for Complaints who is a member of the Board.                                                                                                                                      |
| 9.6 | The MRC will be responsible for ensuring the governing body receives regular information on complaints that provides insight on the landlord's complaint handling performance. This person must have access to suitable information and staff to perform this role and report on their findings.                                                                                                 | Yes | Complaints Policy Section 13.7                                                                                                               | The MRC has access to staff and information to fulfil their role. This access includes the information in section 9.7 of the Complaint Handling Code. In addition to any other information, they deem to be necessary. |
| 9.7 | As a minimum, the MRC and the governing body (or equivalent) must receive: <ul style="list-style-type: none"> <li>a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;</li> <li>b. regular reviews of issues and trends arising from complaint handling;</li> <li>c. regular updates on the outcomes of the Ombudsman's</li> </ul> | Yes | <p>Quarterly complaints performance and service improvement report.</p> <p>Annual complaints performance and service improvement report.</p> | The MRC receives these reports containing this information.                                                                                                                                                            |

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|     | <p>investigations and progress made in complying with orders related to severe maladministration findings; and</p> <p>d. annual complaints performance and service improvement report.</p>                                                                                                                                                                                                                                                                                                                                                              |     |                                                    |                                                                                                                                                                                                                                                                                                                                                                                    |
| 9.8 | <p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <p>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</p> <p>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</p> <p>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</p> | Yes | Colleague briefings, communications and e-learning | <p>Derby Homes objective: A Service which puts our customer first</p> <p>All staff undertake Equity, Diversity and Inclusion Training</p> <p>Training on the Complaint handling code is delivered and information shared as part of corporate communications</p> <p>Derby Homes complies with the Consumer Regulation for Transparency, Influence and Accountability standard.</p> |