

Appendix A: Self-assessment form - Thirteen Group

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 complaint's 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>	Y	Shown within the complaints policy section 3.1 Located on the website: www.thirteengroup.co.uk/page/our-policies	The definition is stated in the complaints policy.
1.3	A resident does not have to use the word 'complaint' for it to be treated as such. Whenever a resident expresses dissatisfaction landlords must give them the choice to make complaint. A complaint that is submitted via a third party or representative must be handled in line with the landlord's complaints policy.	Y	Shown within policy section 3.1 and within the procedure.	Colleagues are trained to recognise the difference between a service request, a formal complaint and take the appropriate steps to resolve the issue. Colleagues will log a complaint for a customer and will signpost customers on how to make a complaint themselves if they wish to do so.

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	Y	Shown within policy section 4.1.1 and 4.1.2 and within the procedure	<p>The policy is available on our website.</p> <p>The Customer Recovery Team handle all formal complaints that Thirteen receive. Colleagues can attempt to own a customer's problem and fix it if they can. All service requests and feedback are logged within Thirteen's Customer Feedback log system to enable monitoring and recording.</p>
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.	Y	Shown within policy 4.1.2 and the procedure.	<p>The policy is available online.</p> <p>As above.</p>

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.	Y	All surveys results are analysed by the Customer Success team, where direct contact is made colleagues explain openly the option to raise concerns via the Complaints process.	If a customer asks to make a complaint during these conversations the team will ensure the relevant questioning takes place and a complaint is logged, should it be required.
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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	Y	Covered within policy 5.5.1 and within the procedure.	If a complaint is not accepted an explanation is given to the customer as to the reasons why. This is also detailed in our complaints policy.

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"> • The issue giving rise to the complaint occurred over twelve months ago. • Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. • Matters that have previously been considered under the complaints policy. 	Y	Covered within policy at 5.5.1 and 5.5.2.	Any instances that fall into this criterion will be documented via our CRM system and a conversation would be captured with the customer.
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.	Y	Covered within policy 5.5.1 with anything over 12 months not being reviewed as a complaint.	Any instances such as this would be reviewed and discretion applied. The calls made are also recorded if within the last 6 months for Thirteen to refer to when investigating 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.	Y	Covered within policy 5.5.2.	Explanation would always be given to the customer regarding the decision as well as calls being recorded and captured in our CRM system and held for 6 months.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Y	Covered within policy 4.1.1.	Each complaint is treated and handled on an individual basis. This is detailed within our complaints policy.

Section 3: Accessibility and Awareness

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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3.1	<p>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.</p>	Y	<p>This is covered within the policy 1.3 and 1.4, supporting complaints leaflet and online via our website.</p> <p>www.thirteengroup.co.uk/page/compliments-and-complaints</p>	<p>How to make a complaint is included on our main website and on the footer of each page of MyThirteen as well as omni channels of communication. Also in the Complaints policy.</p> <p>These channels are advertised to customers in a variety of ways including on Thirteen's website, and in written correspondence. Thirteen are committed to the principles of diversity and inclusion, and fairness, accessibility and transparency. Thirteen are committed to identify customers who are vulnerable and account for their specific needs when handling their complaint.</p>
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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.	Y	Covered within induction training to all staff and within the procedure.	Training taken place across the business to show how to log a complaint when speaking to dissatisfied customers in addition to the Customer Recovery Team receiving advanced training with complaints handling training.
3.3	High volumes of complaints must not be seen as a negative, as they can be indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.	Y	Monthly complaints performance shared co-wide as well as quarterly performance updates provided on our website.	Thirteen's complaints information is available to customers on our website, and a leaflet is available in our Touchpoint Stores. Complaint volumes are monitored weekly and monthly and are shared with Executive Team, Service Directors & Heads of Service monthly. Monthly trends/themes as well as performance of complaints are presented internally across all levels.
3.4	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the two-	Y	Provided on our website, leaflet format and policy 4.1.4	We are currently in the design stages of a new website which will launch early 2026. As part of this

	stage process, what will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord's website.		<p>Website: Compliments and complaints - Thirteen</p> <p>Policy: www.thirteengroup.co.uk/page/our-policies</p>	<p>we reviewing how the information is presented on our website with the aim of making it easier and clearer for customers to access information including complaints information.</p> <p>Any customer wishing to make a complaint over any platform will be given an explanation from the initial acknowledgement of the complaint, communication during the investigation and Thirteen's two stage process. This is reiterated via the customer recovery co-ordinator throughout the investigation through to completion of a complaint.</p>
3.5	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.	Y	This is included within our policy 1.3.	No changes to this process.

3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any meeting with the landlord.	Y	This is included within our policy 4.1.3.	A complaint that is submitted via a third party will still be handled in line with Thirteens policy. A complainant may choose to have a suitable representative deal with their complaint on their behalf. This is detailed in the complaints policy.
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.	Y	This is included within our policy 4.1.6 and 4.1.7, also detailed in S1 & S2 responses.	Customers may access the Housing Ombudsman Service for advice at any point throughout their complaint with Thirteen, not only when the internal complaints process is exhausted and is details within Thirteen's policy and in all our S1 and S2' responses.

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.	Y	Customer Recovery Team is a central team who are responsible for the handling of complaints.	The Customer Recovery Team manage all formal complaints for Thirteen. This ensures a coordinated, consistent, and impartial approach to complaint handling and resolution. The Customer Experience Manager is responsible for consulting with the Housing Ombudsman. This is detailed within the procedure.
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.	Y	Customer Recovery Team have processes in place to ensure they have access to the relevant teams when dealing with complaints as well as a robust escalation process where necessary.	No changes to this process.

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	Y	Covered in induction training & communicated monthly with colleagues at all levels. Also detailed in the complaint's procedure.	Regular updates are provided to colleagues on performance and trends coming through from complaints. Senior Management teams monitor the volume of complaints weekly to understand the demand and trends to ensure complaints at both S1's and S2's are handled efficiently and effectively.
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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.	Y	This is included in the Policy 1.3.	Customers engaged in the development of Thirteen's complaint policy. Our Involved customers scrutinise complaints performance, trends and volumes bi-annually.

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.	Y	There is a 2-stage process in place for the handling of complaints. Detailed in the policy 4.14 and within the procedure.	No changes to this process.
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.	Y	As above.	No changes to this process.
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.	Y	As above.	No changes to this process.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Y	N/A Thirteen handle all complaints.	No changes to this process.

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.	Y	This is evidenced through our Customer Recovery Team (CRT) check list and initial contact when the team acknowledged the complaint (1 working day of receipt of the complaint).	<p>A complaint is assigned to a CRT, this is so we can understand fully the reasons for the complaint and what the outcome the customer is seeking.</p> <p>This is also checked as part of our quality monitoring framework and covered in the procedure for consistency.</p>
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.	Y	Explained within the initial acknowledgement letter and again covered within final response letter to customer.	<p>Customers are contacted within 1 working day of their complaint being logged to set out timescales the customer can expect a response.</p> <p>The CRT also contact the customer again at the mid-point of their complaint to ensure any further questions can be clarified along with update that the complaint investigation is within timescale.</p>

5.8	<p>At each stage of the complaints process, complaint handlers must:</p> <ul style="list-style-type: none"> a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully. 	Y	<p>This is checked via our quality monitoring process for Thirteens Customer Recovery Team as well as captured throughout the investigation and outcome letter.</p> <p>In addition, an independent team also attempt to follow up with satisfaction feedback at the end of all complaints.</p>	<p>Each letter is checked at stage 1 by the Customer Recovery Team Leader and or Experience Manager for sign off.</p> <p>All S2's are checked and signed off by the relevant Service Director and Head of Service dependant on the complaint details.</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.	Y	<p>This is agreed with the customer at mid-way point or as soon as the CRT feels the complaint may go out of timescale and an agreed contact is set with the customer and documented within CRM system.</p>	<p>This is also picked up within the quality monitoring of the Customer Recovery team and ensure that our CRM system and call is logged and recorded where applicable.</p>

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.	Y	CRM system enables us to capture this. This is reported monthly to our Senior Leadership Team and Member Responsible for Complaints.	This is tracked monthly and part of our complaints monthly performance as well as quality monitoring checks by the Team Leader and Experience Manager.
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.	Y	Covered within policy 4.1.1.	No further changes.
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.	Y	Full record of the complaint outcomes at each stage and all correspondence are stored securely within Thirteens CRM.	Customer information is stored securely and is used for continuous improvement across Thirteen.

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.	Y	Covered in policy 4.1.1 and 4.1.2, also within the procedure.	No further changes.
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.	Y	<p>Unacceptable Behaviour Policy in place and used when required.</p> <p>Located on the website: www.thirteengroup.co.uk/page/our-policies</p>	<p>Senior Managers will review unreasonable behaviour exclusions ensuring that the Equality Act 2010 has been considered. The customer will be advised of the decision to decline their complaint for “unreasonable behaviour” in writing, giving clear reasons why the complaint will not be accepted.</p> <p>Thirteen also liaise with our internal legal team on such cases and decide whether a one point of contact is put in place for the customer.</p>

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.	Y	Unacceptable Behaviour Policy and captured where necessary in CRM.	As above
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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.	Y	All complaints are triaged when they are received by the Customer Recovery TL and or the Experience Manager and best course of action is determined on resolution. These cases are monitored closely.	No changes to this process.
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <u>within five working days of the complaint being received.</u>	Y	Covered within policy 4.1.4.	We aim to acknowledge all complaints within 1 working day.

6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Y	Covered within policy 4.1.4. And clear from the outset with customers when making a complaint. S1 complaints response is 5 working days.	The Customer Recovery Team are clear from the outset with customers that S1 complaints are responded to within 5 working days and any case going outside of this timescale the customer will be kept updated with a mutually agreed resolution date.
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident. .	Y	Covered within policy 4.1.4 and 4.1.5	Customers are informed they can speak to the Housing Ombudsman if a complaint goes out of timescale. Full and regular updates are mutually agreed with the customer as and when required or midpoint of the 5 day timescale.
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.	Y	This is part of the procedure and evidenced within the CRT checklist and is checked within the Customer Recovery Team's quality monitoring.	This is included in all letter templates.

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.	Y	Evidenced within letters and policy 4.1.5.	This is monitored by our Remedy action tracker, which is monitored by the Head of Touchpoint and Experience and relevant department Service Directors and Heads of.
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.	Y	Evidenced within letters and monthly learning sessions with CRT.	All letters are checked at stage 1 by the Team Leader and or Experience Manager to ensure they cover all points raised.
6.8	Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if they are related and the stage 1 response has not been issued. Where the stage 1 response has been issued, the new issues are unrelated to the issues already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.	Y	Evidenced within letters and fully explained to the customer when acknowledging the issues raised.	Where customers raise additional complaints during an investigation, these will be incorporated into the response if they are relevant, and the response has not been issued. Where a response has been issued, or it would unreasonably delay the response, the complaint will 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"> a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response. 	Y	Evidenced within all letters.	No changes to this process.
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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.	Y	Covered within policy 4.1.4 and explained fully in the S1 responses.	All stage 2's are acknowledged within 1 working day and responded to within 10 working days.

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.	Y	Covered within policy 4.1.4 and within our CRM system.	No changes to this process.
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.	Y	Covered within the policy 4.1.4, also at point of escalation of complaint and outcome.	Maintaining contact with the customer throughout the process, which is also documented in Thirteen's CRM system and quality monitored for accuracy and consistency are carried out, same process followed as S1's in terms of quality monitoring.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Y	Covered within policy 3.1.1 Either the CR TL or Experience Manager process S2 complaints.	No changes to this process.
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Y	Covered within policy 4.1.4, our response timescale is 10 days.	No changes to this process, we aim to resolve S2 complaints within 10 working days.

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.	Y	As with stage 1 process. Detailed in the policy at 4.1.5.	If a complaint cannot be agreed within required timescale, a mutually agreed resolution date is agreed with the customer either at mid-way point or when the TL or Experience Manager is aware of the extension needed.
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.	Y	As with stage 1 process and within the CRT checklist	No changes to this process.
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.	Y	Evidenced within letters. Thirteen's Remedy action tracker updated appropriately and followed up and monitored by the relevant Service Director or Head of Service connected with the complaint outcomes and actions.	No changes to this process.
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.	Y	Covered within the letters.	Stage 2 complaint responses and outcomes are reviewed by the relevant Head of Service & Service Director.

6.19	<p>Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:</p> <ul style="list-style-type: none"> a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied. 	Y	Covered within letter.	
6.20	<p>Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.</p>	Y	Investigation and final responses are signed off by relevant Head of Service and Service Director.	Evidence in response letters detailing the relevant colleague and service areas which have been involved within the case. This is then stored in Thirteens CRM system.

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"> • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; • Taking action if there has been delay; • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; • Providing a financial remedy; • Changing policies, procedures or practices. 	Y	This is covered within the outcome letters.	No changes to this process.

7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Y	Separate compensation policy.	Housing Ombudsman redress guide is followed when necessary.
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.	Y	Covered within response letter.	Handled on a case-by-case basis where necessary and documented in Thirteens Remedy tracker.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Y	Continuous learning and development with the CRT team. Regular monitoring and sharing of updates and guidance from the Housing Ombudsman.	<p>The Housing Ombudsman portal is managed and monitored by the Experience Manager and Customer Recovery Team Leader.</p> <p>Determinations are reviewed and findings/learnings are shared with the relevant Service Director and Head of Service.</p> <p>The actions are completed in conjunction with these areas and again logged within Thirteens Remedy action tracker.</p>

Section 8: Putting things right

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"> a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; 	Y	<p>This report has now been completed and can be found on our website:</p> <p>www.thirteengroup.co.uk/page/compliments-and-complaints</p>	<p>Thirteen's annual complaints performance report for 24/25 was presented to Involved customers Customer Committee, Board and Customer complaints scrutiny group on 14th April 2025.</p>

	<p>e. any annual report about the landlord's performance from the Ombudsman; and</p> <p>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</p> <p>g. any annual report about the landlord's performance from the Ombudsman; and</p> <p>h. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</p>			
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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.	Y	As above the report has been created and can be found on our website www.thirteengroup.co.uk/page/compliments-and-complaints The Governing body's response and person responsible information can be found on our website also www.thirteengroup.co.uk/page/compliments-and-complaints	
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Y	Self-assessment review has been carried out with the Customer complaints scrutiny group, Director of Customer Experience and Head of Touchpoint and Experience	The self-assessment will be shared with the Customer Recovery team throughout the year and where necessary Thirteen will consider any changes to the team/structure or procedures.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Y	This will be documented directly to the Housing Ombudsman following any review requested by the Ombudsman.	No changes to this process.

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.	Y	Thirteen have a robust disaster recovery process in place.	The Housing Ombudsman will be informed if Thirteen is unable to comply with the Complaint Handling Code along with a timescale for returning to compliance will be provided.
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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.	Y	Reviewed as part of every complaint and piece of dissatisfaction. Evidence and monitoring through the monthly Complaints performance report and Thirteens Remedy action tracker.	Thirteen's services are improved by identifying themes and trends in complaint, performance, and satisfaction data. Themes and trends are assessed by the relevant managers and senior managers.

				Service improvements are communicated to customers on our website through our You Said We Did, social media channels, and through our customer annual report and customer magazine.
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.	Y	Learnings are shared monthly across Thirteen including with senior levels to ensure all understand key themes & trends as well as with Thirteens Involved customer complaints group who review the complaints and decide if any further scrutiny / deep dives are necessary.	Customers who have complained are asked to offer us feedback on the handling of their complaint by our Success team to ensure the Customer Recovery Team are operating consistently and effectively and learnings identified.
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.	Y	<p>Included within the complaints updates that are monitored monthly at Service Director, Heads of Service and Executive Team level.</p> <p>In addition, the performance is reviewed quarterly by the involved customer group, MRC, Chair of the Board and Customer Committee.</p>	Recommendations & action tracker reviewed, and findings shared on monthly basis.

9.4	Landlords must appoint a suitably senior lead person as accountable for their complaint handling. This person must assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.	Y	Executive Director of Customer Services	The Member Responsible for Complaints (MRC) was appointed in March 2024. The MRC is also Chair of Thirteens Customer Committee and sits on the Involved customer complaints group that meets quarterly.
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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').	Y	Member of the board appointed as MRC and communicated on the website. www.thirteengroup.co.uk/page/complaints-and-complaints	As above
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.	Y	The MRC participates in the quarterly review of complaints performance alongside the involved customer complaints group and Chair of Thirteens Board. The updates are then reviewed by the Executive team, Customer Committee and Board.	No changes to this process.

9.7	<p>As a minimum, the MRC and the governing body (or equivalent) must receive:</p> <ul style="list-style-type: none"> a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and d. annual complaints performance and service improvement report. 	Y	As above.	No changes to this process.
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> <ul style="list-style-type: none"> a. have a collaborative and cooperative 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 	Y	Covered within policy section 4.1.1.	No changes to this process.

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