

## Appendix A: Self-assessment form

This self-assessment form should be completed by the complaints officer and it must be reviewed and approved by the landlord's governing body at least annually.

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

Landlords are required to complete the self-assessment in full and support all statements with evidence, with additional commentary as necessary.

We recognise that there may be a small number of circumstances where landlords are unable to meet the requirements, for example, if they do not have a website. In these circumstances, we expect landlords to deliver the intentions of the Code in an alternative way, for example by publishing information in a public area so that it is easily accessible.

## Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	A complaint must be defined as: <i>'an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.'</i>	Yes	Square Roots uses definition in <a href="#">Complaints and Compliments policy</a>  Paragraph 2.1	Square Roots' Complaints and Compliments policy is on our customer website.
1.3	A resident does not have to use the word 'complaint' for it to be treated as such. Whenever a resident expresses dissatisfaction landlords must give them the choice to make complaint. A complaint that is submitted via a third party or representative must be handled in line with the landlord's complaints policy.	Yes	Frontline staff have received training on the policy and definition of complaints. Square Roots hold internal cases that provide examples of staff compliance.  This is referred to in Square Roots' Complaints and Compliments policy paragraph 2.1 and 2.2	The definition of a complaint and third party complaints is part of the induction and ongoing training for all Square Roots staff.
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	Yes	The Ombudsman's definition is referred to in Square Roots' Complaints and Compliments policy paragraph 2.2.1	Service requests and complaints are assessed by the Customer Service team, who will receive the request, acknowledge,

	the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be recorded, monitored and reviewed regularly.			assign and log on our housing management system, Pyramid, as a service request or complaint.  The Customer Service team have mandatory complaints training, annually.
1.5	A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains.	Yes	This is referred to in Square Roots' Complaints and Compliments policy paragraph 2.1.1 and procedure paragraph 2.2	The Customer Service team will separate service requests and complaints and manage each in line with the relevant policy and procedure. Staff are trained to recognise when the handling of a service request causes dissatisfaction and needs to be logged as a complaint. This does not prejudice the progression of a service request.
1.6	An expression of dissatisfaction with services made through a survey is not defined as a complaint, though wherever possible, the person completing the survey should be made aware of how they can pursue a complaint if they wish to. Where	Yes	The Ombudsman's definition is referred to in Square Roots' Complaints and Compliments policy paragraphs 2.1.1 and 13	Square Roots surveys include information which signposts customers on how to make a complaint.

	landlords ask for wider feedback about their services, they also must provide details of how residents can complain.			
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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	Yes	This is referred to in Square Roots' Complaints and Compliments policy paragraph 2.3.3 and paragraph 3.4 of the procedure	Any complaints that are not accepted are recorded.
2.2	<p>A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> <li>• The issue giving rise to the complaint occurred over twelve months ago.</li> <li>• Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court.</li> </ul>	Yes	This is referred to in Square Roots' Complaints and Compliments policy paragraph 2.3.1, 2.3.2 and 2.3.3	

	<ul style="list-style-type: none"> <li>Matters that have previously been considered under the complaints policy.</li> </ul>			
2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.	Yes	This is referred to in Square Roots' Complaints and Compliments policy paragraph 2.3.2 and 2.4.3	The guidance is clearly followed in Square Root's policy
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	This is referred to in Square Roots' Complaints and Compliments policy paragraph 2.3.3	These are recorded as complaints not accepted. An Ombudsman leaflet is included in the communication.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	This is referred to in Square Roots' Complaints and Compliments policy paragraph 2.3.3	Relevant Square Roots staff undergo training on Square Roots' Complaints and Compliments policy and procedures. Each complaint is evaluated

				individually, with respect for diversity.
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### Section 3: Accessibility and Awareness

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
3.1	Landlords must make it easy for residents to complain by providing different channels through which they can make a complaint. Landlords must consider their duties under the Equality Act 2010 and anticipate the needs and reasonable adjustments of residents who may need to access the complaints process.	Yes	Methods of contact are referred to in Square Roots' Complaints and Compliments policy paragraph 2.5.2 as well as on our website and on our noticeboards  The Equality Act is cited in Square Roots' Complaints and Compliments policy paragraph 5.1	All staff have mandatory equality and diversity training
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	This is referred to in Square Roots' Complaints and Compliments policy paragraph 2.5.2	All Square Roots frontline staff are aware of the complaints process and how to report a complaint.
3.3	High volumes of complaints must not be seen as a negative, as they can be	Yes	This is referred to in Square Roots' Complaints and	Complaints are viewed as feedback and an

	indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.		Compliments policy paragraphs 1.2, 1.3, 2.1, 2.2 and 3.2	opportunity to improve services. 17 complaints were received, 1 complaint rejected.
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	This is referred to in Square Roots' Complaints and Compliments policy paragraph 2.5.6	<p>Our Complaints &amp; Compliments Policy is published on our website in an accessible HTML format. This means:</p> <ul style="list-style-type: none"> <li>• It can be read using screen readers and other assistive technologies</li> <li>• It supports adjustable text size, spacing, and colours</li> <li>• It is compatible with mobile devices and different browsers</li> <li>• It avoids reliance on inaccessible file formats where possible</li> </ul> <p>A downloadable version is provided (PDF) to new customers at sign up, we aim to ensure this is also</p>

				accessible and clearly structured.
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	This is referred to in Square Roots' Complaints and Compliments policy paragraph 9.3 and 9.4  This is overseen by the Complaints Officer	
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	This is referred to in Square Roots' Complaints and Compliments policy paragraph 2.4.1	
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	This is referred to in Square Roots' Complaints and Compliments policy paragraph 9	Housing Ombudsman leaflet is also provided with copy of stage two complaints

## Section 4: Complaint Handling Staff

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
4.1	Landlords must have a person or team assigned to take responsibility for complaint handling, including liaison with the Ombudsman and ensuring complaints are reported to the governing body (or equivalent). This Code will refer to that person or team as the 'complaints officer'. This role may be in addition to other duties.	Yes	This is referred to in Square Roots' Complaints and Compliments policy paragraph 14.2	The Head of Compliance & Customer Services is the Complaints Officer.
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	This is referred to in Square Roots' Complaints and Compliments policy paragraph 2.5.6. Alongside stages it states lead officer	Square Roots understands the importance of complaints and staff are empowered to resolve complaints promptly and fairly.  The Complaints Officer leads the Customer Service team, Operations team and reports to the Managing Director. The role is suitably placed within the organisation to have access to staff at all levels.

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	This is referred to in Square Roots' Complaints and Compliments policy paragraph 14.1	<p>Complaints are treated as a priority and to date all have been logged, acknowledged, and responded to within the guidelines set out in the Code.</p> <p>Relevant Square Roots staff (Customer Service team, Operations team, complaint handlers, Complaints Officer). have received complaints training and required to keep knowledge up to date.</p>
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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 cited by this Code. Residents must not be treated differently if they complain.	Yes	Square Roots has a single policy- the Complaints and Compliments policy, stated in the policy, paragraph 2.5.3 and 2.5.7	Complaints are viewed as feedback and an opportunity to improve services. Residents are not treated differently if they complain. Treating customers fairly is part of complaints training
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	This is referred to in Square Roots' Complaints and Compliments policy paragraph 2.5.6	Square Roots have two stages.  Complaints or expressions of dissatisfaction are treated as stage 1 complaints
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	This is referred to in Square Roots' Complaints and Compliments policy paragraph 2.5.6	
5.4	Where a landlord's complaint response is handled by a third party	Yes	This is referred to in Square Roots' Complaints and	Square Roots seeks to be explicit in its approach, to

	(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.		Compliments policy paragraph 2.5.6  Complaints are assigned internally and Square Roots have two stages	improve transparency for customers and staff, to facilitate this Square Roots will amend Complaints and Compliments policy and procedure by <b>31/05/26</b>
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	This is referred to in Square Roots' Complaints and Compliments policy paragraph 2.5.7	Square Roots complaint handlers are internal. Complaints are not handled by third parties. Square Roots will coordinate the complaint response.
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	The role of the complaint handler is to understand and summarise the complaint. This is referred to in Square Roots' Complaints and Compliments procedure paragraph 4.1 & 4.2 and part of the complaint response template	Square Roots complaint handlers are trained to use a bespoke template, which requires a complaint summary
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	This is referred to in Square Roots' Complaints and Compliments procedure paragraph 4.4	Complaint handlers, have mandatory complaints training, annually.

5.8	<p>At each stage of the complaints process, complaint handlers must:</p> <ul style="list-style-type: none"> <li>a. deal with complaints on their merits, act independently, and have an open mind;</li> <li>b. give the resident a fair chance to set out their position;</li> <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>	Yes	<p>Square Roots' approach to complaints and culture is referred to in the Complaints and Compliments policy 1.2, 1.3, and 14.4</p> <p>Complaint handlers, have mandatory complaints training, annually, which includes these points.</p> <p>The Complaints Officer oversees this</p>	
5.9	<p>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.</p>	Yes	<p>This is referred to in Square Roots' Complaints and Compliments policy paragraph 2.5.6 procedure paragraph 4.1 &amp; 4.2</p>	<p>Square Roots capture any notes in housing management system, Pyramid</p>
5.10	<p>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.</p>	Yes	<p>This is referred to in Square Roots' Complaints and Compliments policy section 5</p> <p>Any reasonable adjustments are requested and added to Pyramid.</p>	<p>Square Roots capture any notes in housing management system, Pyramid</p>
5.11	<p>Landlords must not refuse to escalate a complaint through all stages of the</p>	Yes	<p>This is referred to in Square Roots' Complaints and</p>	<p>Relevant staff are trained on complaint handling.</p>

	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.		Compliments policy paragraph 2.5.3 and paragraph 3.4 of the procedure	Escalation is offered at each stage of the complaints process, and the customer is signposted to the Housing Ombudsman
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	All information relating to complaints is logged and documents stored in Pyramid	
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	Square Roots has a Compensation and Redress policy	Relevant staff are trained on early resolution and putting things right for the customer and using the procedure to find an appropriate remedy
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	Yes	Square Roots has an Unacceptable Behaviour policy. This is referred to in the Complaints and Compensation policy paragraph 6.4	

	keep restrictions under regular review.			
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	This is referred to in the Unacceptable Behaviour policy paragraph 4.6 and Complaints and Compliments policy 5.1	All staff have annual mandatory equality and diversity training

## Section 6: Complaints Stages

### Stage 1

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.1	Landlords must have processes in place to consider which complaints can be responded to as early as possible, and which require further investigation. Landlords must consider factors such as the complexity of the complaint and whether the resident is vulnerable or at risk. Most stage 1 complaints can be resolved promptly, and an explanation, apology or resolution provided to the resident.	Yes	This is referred to in Square Roots' Complaints and Compliments procedure paragraph 4.1	The complaint handler has responsibility, within 5 working days, to speak to the complainant, assess the complexity and decide whether an extension is needed.
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <b>within five working days of the complaint being received.</b>	Yes	This is referred to in Square Roots' Complaints and Compliments procedure paragraph 4.1 and policy 2.5.3	The Customer Service team will acknowledge, log and assign, recording on Pyramid
6.3	Landlords must issue a full response to stage 1 complaints <b>within 10 working days</b> of the complaint being acknowledged.	Yes	This is referred to in Square Roots' Complaints and Compliments procedure paragraph 4.1 and policy 2.5.6	Relevant staff are trained on timescales
6.4	Landlords must decide whether an extension to this timescale is needed	Yes	This is referred to in Square Roots' Complaints and	The complaint handler has responsibility, within 5

	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.		Compliments procedure paragraph 4.1	working days, to speak to the complainant, assess the complexity and decide whether an extension is needed.
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	This is referred to in Square Roots' Complaints and Compliments procedure paragraph 2.5.6	
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	This is referred to in Square Roots' Complaints and Compliments policy paragraph 8.2	
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	This is referred to in Square Roots' Complaints and Compliments policy paragraph 2.5.9	
6.8	Where residents raise additional complaints during the investigation,	Yes	This is referred to in Square Roots' Complaints and	

	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.		Compliments policy paragraph 6.2	
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> <li>g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</li> </ul>	Yes	This is referred to in Square Roots' Complaints and Compliments procedure paragraph 4.1	

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. Stage 2 is the landlord's final response.	Yes	This is referred to in Square Roots' Complaints and Compliments policy paragraph 2.5.6 and procedure paragraph 4.2	Square Roots operates a two stage complaints process. Stage two is the final stage of our internal process.
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	This is referred to in Square Roots' Complaints and Compliments policy paragraph 2.5.6 and procedure paragraph 4.2	
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	This is referred to in Square Roots' Complaints and Compliments procedure paragraph 4.2	There are no criteria for escalation to stage 2. Square Roots will only ask what solution the customer is seeking
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	This is referred to in Square Roots' Complaints and Compliments policy paragraph 2.5.6 and procedure paragraph 4.2	
6.14	Landlords must issue a final response to the stage 2 <b>within 20 working days</b> of the complaint being acknowledged.	Yes	Square Roots has referred to this in paragraph 2.5.6 of its Complaints and Compliments policy, as well as paragraph 4.2 of its procedure.	
6.15	Landlords must decide whether an extension to this timescale is needed when considering the complexity of	Yes	This is referred to in Square Roots' Complaints and Compliments policy paragraph	

	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.		2.5.6 and procedure paragraph 4.2	
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	This is referred to in Square Roots' Complaints and Compliments policy paragraph 2.5.6 and procedure paragraph 4.2	
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	This is referred to in Square Roots' Complaints and Compliments policy paragraph 8.2	
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	This is referred to in Square Roots' Complaints and Compliments policy paragraph 2.5.9	
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: a. the complaint stage;	Yes	This is referred to in Square Roots' Complaints and Compliments procedure paragraph 4.2	

	<ul style="list-style-type: none"> <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 the Ombudsman Service if the individual remains dissatisfied.</li> </ul>			
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>	Yes	<p>This is referred to in Square Roots' Complaints and Compliments policy paragraph 2.5.6</p>	<p>Stage two complaints are assigned to senior member of staff, who has authority and scope to review the stage one, facilitate responses from across the business and make decisions and recommend changes</p>

## Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> <li>• Apologising;</li> <li>• Acknowledging where things have gone wrong;</li> <li>• Providing an explanation, assistance or reasons;</li> <li>• Taking action if there has been delay;</li> <li>• Reconsidering or changing a decision;</li> <li>• Amending a record or adding a correction or addendum;</li> <li>• Providing a financial remedy;</li> <li>• Changing policies, procedures or practices.</li> </ul>	Yes	This is referred to in Square Roots' Complaints and Compliments policy paragraph 3.1	
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	This is referred to in Square Roots' Complaints and Compliments policy paragraph 3.2	
7.3	The remedy offer must clearly set out what will happen and by when, in agreement with the resident where	Yes	This is referred to in Square Roots' Compensation and Redress policy paragraph 3.4	

	appropriate. Any remedy proposed must be followed through to completion.			
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	This is referred to in Square Roots' Compensation and Redress policy paragraph 3.4	Policy was shared with customers and Housing Ombudsman Service as part of the consultation

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

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> <li>a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.</li> <li>b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept;</li> <li>c. any findings of non-compliance with this Code by the Ombudsman;</li> <li>d. the service improvements made as a result of the learning from complaints;</li> <li>e. any annual report about the landlord's performance from the Ombudsman; and</li> <li>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</li> </ul>	Yes	<p>An annual report will be produced to cover the issues required in this section. This report will be presented to the Board with oversight provided by the Member Responsible for Complaints.</p> <p>The report, the Board's response and the self-assessment will be published on the website.</p>	

8.2	The annual complaints performance and service improvement report must be reported to the landlord's governing body (or equivalent) and published on the on the section of its website relating to complaints. The governing body's response to the report must be published alongside this.	Yes	As at section 8.1.	
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	This is referred to in Square Roots' Complaints and Compliments policy paragraph 15.2	
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	No	Square will amend Complaints and Compliments policy and procedure by <b>31/05/26</b>	This is overseen by the Complaints Officer, who has received training in this area. The policy will be updated to reflect this.
8.5	If a landlord is unable to comply with the Code due to exceptional circumstances, such as a cyber incident, they must inform the Ombudsman, provide information to residents who may be affected, and publish this on their website Landlords must provide a timescale for returning to compliance with the Code.	Yes	If Square Roots is unable to comply with the Code due to exceptional circumstances, such as a cyber incident, we will notify the Ombudsman and provide information to our customers who may be affected and publish this on our website. We will provide a timescale for returning to compliance with the Code	Square Roots seeks to be explicit in its approach, to improve transparency for customers and staff, to facilitate this Square Roots will amend Complaints and Compliments policy and procedure by <b>31/05/26</b>

## Section 9: Scrutiny & oversight: continuous learning and improvement

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
9.1	Landlords must look beyond the circumstances of the individual complaint and consider whether service improvements can be made as a result of any learning from the complaint.	Yes	This is referred to in Square Roots' Complaints and Compliments policy paragraphs 1.3, 14.4 and 15	
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	This is referred to in Square Roots' Complaints and Compliments policy paragraphs 1.3, 14.1. 14.4 and 15	
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	Lessons learnt publicised in Complaints Performance and Service Improvement Report  Complaints performance and learning is reported quarterly internally and annually to customers	
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	This is the roles and responsibility of Head of Compliance & Customer Services	

	serious risks, or policies and procedures that require 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	Square Roots has an MRC in place who is a Non-Executive 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	Square Roots board receives quarterly complaints reports and annual insight.  MRC has access to the Complaints Officer and other relevant senior staff	
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's	Yes	Square Roots provides quarterly reports to Board, which cover points a and b. Square Roots had no cases referred to the Ombudsman in this reporting year. Square Roots are compliant in the submission and publishing of an annual complaint's performance and service improvement report.	

	<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	<p>All relevant staff have at least one complaint objective.</p> <p>Complaints are viewed as feedback and an opportunity to improve services. Square Roots adopt a positive approach to resolving complaints</p>	