

ANNUAL COMPLAINTS PERFORMANCE AND SERVICE IMPROVEMENT REPORT

2025 - 2026

**APPENDIX A:
SELF-ASSESSMENT
FORM**



APPENDIX A: SELF-ASSESSMENT FORM

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

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

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

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

Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	A complaint must be defined as: 'an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.'	Yes	Available on our website: <u>Customer Complaints Policy</u> .	3.2 of Customer Complaint Policy directly matches the Housing Ombudsman's complaint 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	Available on our website: <u>Customer Complaints Policy</u> .	3.2 of Customer Complaint Policy explains that a customer does not need to use the word 'complaint'. 3.3 of Customer Complaint Policy explains that an advocate can represent a customer.
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	Available on our website: <u>Customer Complaints Policy</u> .	3.1 of Customer Complaint Policy defines a service request as day-to-day correspondence we have with customers. Rooftop requires correspondence and activity to be recorded on the housing management system.

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	Available on our website: <u>Customer Complaints Policy</u>	3.1 of Customer Complaint Policy states that dissatisfaction with a service request must be raised as a complaint even if service request is ongoing.
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	Available on our website: <u>Customer Complaints Policy</u>	10.4 of Customer Complaint Policy explains that if customers express dissatisfaction with services when completing a satisfaction survey, we do not treat this as a complaint. All surveys will clearly outline how to make a complaint if the customer wishes to do so. Training has been provided to our survey team and a scripted process provided.

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	Available on our website: <u>Customer Complaints Policy</u> .	8.2 explains we will accept a complaint unless there is a valid reason not to do so. 9.1 specifies that the complaint acknowledgement will clearly set out which elements of the complaint Rooftop is, and is not, responsible for. 10 sets out the reasons where complaints will not be accepted. 10.1 confirms that we do not take a one size fits all approach and each complaint is considered on an individual basis.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.2	A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include: • The issue giving rise to the complaint occurred over twelve months ago. • Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. • Matters that have previously been considered under the complaints policy.	Yes	Available on our website: <u>Customer Complaints Policy.</u>	Section 10 sets out the specific reasons for not investigating a complaint.
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	Available on our website: <u>Customer Complaints Policy.</u>	Section 10 sets out the specific reasons for not investigating a complaint. It also confirms that each complaint is considered on an individual basis; we do not take a one size fits all approach when excluding complaints. 10.3 explains that we will not investigate cases where the issue giving rise to the complaint occurred over 12 months ago, with discretion to consider each complaint request on a case by case basis. (complaints where the customer has not been made aware of the issue within 12 months will be considered).

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	Available on our website: <u>Customer Complaints Policy</u> .	10.10 directly addresses this requirement.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Available on our website: <u>Customer Complaints Policy</u> .	10.1 states that each complaint is considered on an individual basis; we do not take a one size fits all approach when excluding complaints.

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	Available on our website: <u>Customer Complaints Policy</u> <u>Equality, Diversity and Inclusion Policy</u> <u>Assessing and Supporting Vulnerability Policy</u> <u>Complaints - A guide for customers</u>	1.4 states customers must be able to complain in any way and with any colleague (this satisfies 1.2 of the Code). 4.2 states how we make it easy for customers to complain and links to our EDI Policy. 4.3 explains how we record reasonable adjustments we have made. Complaints guide – explains that a customer or an advocate can complain to us in person, over the telephone, by email, by letter, or via our website.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Available on our website: <u>Customer Complaints Policy</u> <u>Complaints - A guide for customers</u>	1.4 states customers must be able to complain in any way and with any colleague (this satisfies 1.2 of the Code). Complaints guide specifies: You or an advocate can complain to us in person, over the telephone, by email, by letter, or via our website. 8.10 Mandatory Complaint Handling training provides an overview of the Customer Complaint Policy and procedure. Complaint handling training is part of every new starter's induction process and there is refresher training following every annual policy review. We have used our internal communications 'intranet' to publicise changes to our Customer Complaints Policy.
3.3	High volumes of complaints must not be seen as a negative, as they can be indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.	Yes	Available on our website: <u>Customer Complaints Policy</u>	1.3 recognises a high number of complaints can be indicative of a well-publicised and accessible complaint process.

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	Available on our website: <u>Customer Complaints Policy.</u> <u>Complaints - A guide for customers</u>	8.13 This Policy is published and promoted on the Rooftop website, through social media platforms and can be made available to customers in multiple formats, including alternative languages and hard copy. Alongside the Policy we provide a guide for customers to explain the complaints process, timescales and expectations. The Complaints guide provides infographics and specifies Rooftop has a two stage complaint process.
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	Available on our website: <u>Customer Complaints Policy.</u>	8.1 specifies that we will ensure all customers are aware of the Housing Ombudsman Service. 8.13 states that the Customer Complaints Policy is published and promoted on the website. 12.1 explains the role of the Housing Ombudsman. Further there is more information in our accompanying self-assessment report. 12.2 Provides specific contact details of the Housing Ombudsman and explains that they can make contact at any point before or during the complaint process. 17.1 States that this Policy will be reviewed annually together with the self-assessment against the Housing Ombudsman Complaint Handling Code unless there are major changes in legislation or good practice.

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	Available on our website: <u>Customer Complaints Policy</u> .	3.3 acknowledges that an advocate can represent a customer and attend any meeting.
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	Available on our website: <u>Customer Complaints Policy</u> .	12.2 Provides specific contact details of the Housing Ombudsman and explains that they can contact at any point before or during the complaint process.

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	Available on our website: <u>Customer Complaints Policy</u>	8.11 Rooftop has a Complaints Resolution team assigned to take responsibility for complaint handling and is responsible for liaison with the Housing Ombudsman. 16.1 Overall compliance against our Policy will be monitored by the Complaints Resolution Manager. 16.2 The Executive Director – Customer will be the lead person accountable for complaint handling. This person must assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.
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	Available on our website: <u>Customer Complaints Policy</u>	8.11 The Complaints Resolution team has access to staff at all levels to facilitate the prompt resolution of complaints. They also have the authority and autonomy to act to resolve disputes promptly and fairly.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Available on our website: <u>Customer Complaints Policy</u>	1.4 Customers must be able to raise their complaints in any way and with any colleague. All colleagues are made aware of the complaints process and know how to record complaints. 8.10 Mandatory Complaint Handling training provides an overview of the Customer Complaint Policy and procedure.

Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.	Yes	Available on our website: Customer Complaints Policy .	Rooftop operates a single Customer Complaints Policy. 1.2 confirms that the Policy applies to all our services.
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	Available on our website: Customer Complaints Policy . Complaints - A guide for customers	Rooftop has a defined two stage 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.	Yes	Available on our website: Customer Complaints Policy . Complaints - A guide for customers	Rooftop has a defined two stage 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.	Yes	Available on our website: Customer Complaints Policy . Complaints - A guide for customers	Rooftop own the complaints process entirely. 9.7 If a customer has a complaint about a contractor, we will ensure that our own complaints process is followed so that our customers do not have to go through two complaints processes.

5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Available on our website: <u>Customer Complaints Policy</u> <u>Complaints - A guide for customers</u>	Rooftop own the complaints process entirely. 9.7 If a customer has a complaint about a contractor, we will ensure that our own complaints process is followed so that our customers do not have to go through two complaints processes.
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	Available on our website: <u>Customer Complaints Policy</u>	9.1 and 9.1.7.1 specify the acknowledgment process for both stages, including a complaint definition. 9.2.1 confirms that we will contact the customer within five working days at each stage to understand the outcome that they are seeking to enable their involvement and to facilitate a swift resolution.
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	Available on our website: <u>Customer Complaints Policy</u>	9.1 and 9.1.7.1 the acknowledgement will clearly set out which elements of the complaint Rooftop is, and is not, responsible for. 10.10 If the complaint or escalation request is not accepted, an explanation must be provided to the customer setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Housing Ombudsman.

5.8	At each stage of the complaints process, complaint handlers must: a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully.	Yes	Available on our website: <u>Customer Complaints Policy</u>.	2.1.4 Rooftop complies fully with the Code and its mandatory provisions 8.1 All complaints are dealt with fairly, honestly, consistently and in a timely manner in line with the Housing Ombudsman's Complaint Handling Code. We also ensure that our customers are aware of the Housing Ombudsman Service and provided with its contact details. 8.11 confirms the Complaints Resolution Team have the authority and autonomy to act to resolve disputes promptly and fairly.
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	Available on our website: <u>Customer Complaints Policy</u>.	9.1.5.1 and 9.1.8.1 Where a response falls outside extended timescales, we will agree appropriate update intervals with the customer.
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	Available on our website: <u>Customer Complaints Policy</u>. <u>Assessing and Supporting Vulnerability Policy</u>. <u>Equality, Diversity and Inclusion Policy</u>.	4.3 explains how we record reasonable adjustments we have made. 5.1 and 5.2 acknowledge that we will make reasonable adjustments. We record any requested reasonable adjustments and any vulnerabilities shared with us by the customer. We ask them about this in the customer voice call prior to issuing the acknowledgement letter. In our acknowledgement letters we ask for any considered vulnerabilities.

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	Available on our website: <u>Customer Complaints Policy</u>	9.1.6.1 specifies if all or part of the complaint is not resolved to the customer's satisfaction, they may escalate the complaint to Stage 2. 10.10 If the complaint or escalation request is not accepted, an explanation must be provided to the customer setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision 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	Available on our website: <u>Annual Complaints Performance and Service Improvement Review 2025-2026</u> <u>Annual Report to Residents 2025</u> <u>Customer Reports</u>	Individual case reports are accessible via the Housing Management System. Evidenced via analysis presented in annual service improvements and learning report. Further complaint analysis is undertaken to present our Residents Annual Report, Tenant Satisfaction Measures, and Customer Quarterly Reports.
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	Available on our website: <u>Customer Complaints Policy</u>	11.1 specifies that remedies can be provided at any stage of the complaints process without the need for escalation. A range of actions are listed.

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	Available on our website: <u>Customer Complaints Policy</u> . <u>Unacceptable Behaviour Policy</u> .	10.2 sets out our approach to unacceptable behaviour. Unacceptable 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	Available on our website: <u>Unacceptable Behaviour Policy</u> . <u>Equality, Diversity and Inclusion Policy</u> .	10.2 sets out our approach to unacceptable behaviour. Rooftop has regard for the Equality Act 2010.

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	Available on our website: <u>Customer Complaints Policy.</u>	8.4 provides guidance on priority property safety risks. 9.1.2 Confirms that we respond to a complaint when we know the answer to the complaint, even if actions are still required afterwards. Dedicated complaints resolution team perform dynamic risk assessments when complaints are received.
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>	Yes	Available on our website: <u>Customer Complaints Policy.</u>	9.1 confirms timelines of 5 working days.
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Available on our website: <u>Customer Complaints Policy.</u>	9.1.1 confirms timeline of 10 working days.
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.	Yes	Available on our website: <u>Customer Complaints Policy.</u>	9.1.5 specifies circumstances and timelines of extensions.

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	Available on our website: <u>Customer Complaints Policy</u>	9.1.5.1 If a complaint response is extended, the customer will be provided with the contact details for the Housing Ombudsman.
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	Available on our website: <u>Customer Complaints Policy</u>	9.1.2 We respond to a complaint when we know the answer to the complaint, not when we complete the actions required to address the issue. Outstanding actions will be tracked and suitable update intervals agreed with the customer.
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	Available on our website: <u>Customer Complaints Policy</u>	9.1.1 lists the required information in a response.
6.8	Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if they are related and the stage 1 response has not been issued. Where the stage 1 response has been issued, the new issues are unrelated to the issues already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.	Yes	Available on our website: <u>Customer Complaints Policy</u>	9.1.3 and 9.1.4 acknowledges if new issues that are related to the Stage 1 are raised by the complainant and the Stage 1 response has not been issued, then they will be incorporated into the Stage 1 response. If new issues are identified during the Stage 1 process that are not part of the investigation, a new Stage 1 complaint will be logged for investigation to avoid any undue delay to the existing investigation.

6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: a.the complaint stage; b.the complaint definition; c.the decision on the complaint; d.the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.	Yes	Available on our website: <u>Customer Complaints Policy</u>	9.1.1 mandates the use of the identified response requirements.
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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.	Yes	Available on our website: <u>Customer Complaints Policy</u>	9.1.6.1 If the customer remains dissatisfied with all or part of the Stage 1 outcome, they may request escalation to Stage 2. 9.1.7 – Stage 2 – Final Review and 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	Available on our website: <u>Customer Complaints Policy</u>	9.1.7.1 Stage 2 complaints will be acknowledged, defined and logged within five working days of the escalation request.

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	Available on our website: <u>Customer Complaints Policy</u>	9.1.6.3 Customers do not need to explain their reasons for escalation, although we will make reasonable efforts to understand why they remain unhappy.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Available on our website: <u>Customer Complaints Policy</u>	9.1.6.2 The Stage 2 reviewer will not be the same person who considered Stage 1.
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	Available on our website: <u>Customer Complaints Policy</u>	9.1.7.2 A final written response will be issued within 20 working days following the 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	Available on our website: <u>Customer Complaints Policy</u>	9.1.8.1 specifies circumstances and timelines of extensions. 9.2.2 additional extensions will only be permitted in exceptional circumstances.
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	Available on our website: <u>Customer Complaints Policy</u>	9.1.8.1 If a complaint response is extended, the customer will be provided with the contact details for the Housing Ombudsman.

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	Available on our website: <u>Customer Complaints Policy</u> .	9.1.7.2 we respond when we know the answer, not when all actions are completed. Update intervals will be agreed where actions remain open.
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	Available on our website: <u>Customer Complaints Policy</u> .	9.1.7.1 and 9.1.7.2. lists the required information in a response that satisfies this requirement.
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: a.the complaint stage; b.the complaint definition; c.the decision on the complaint; d.the reasons for any decisions made; e.the details of any remedy offered to put things right; f.details of any outstanding actions; and details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.	Yes	Available on our website: <u>Customer Complaints Policy</u> .	9.1.7.2 mandates the use of the identified response requirements.
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Available on our website: <u>Customer Complaints Policy</u> .	8.11 The Complaints Resolution team has access to colleagues at all levels to facilitate the prompt resolution of complaints. They also have the authority and autonomy to act to resolve disputes promptly and fairly. 9.1.6.1 Stage 2 is our final response.

Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include: • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; • Taking action if there has been delay; • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; • Providing a financial remedy; • Changing policies, procedures or practices.	Yes	Available on our website: <u>Customer Complaints Policy.</u> <u>Compensation Policy.</u>	11.1 of the Policy aligns with the specified list.
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Available on our website: <u>Compensation Policy.</u>	Our Compensation Policy adheres to the Housing Ombudsman's guidance. It provides guidance on remedies based on low, medium and high impact.

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	Available on our website: <u>Customer Complaints Policy</u> .	9.1.1 and 9.1.7.2 specify our complaint responses must detail any remedy offered to put things right and provide details of any outstanding actions and how these will be tracked, actioned, and communicated.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Available on our website: <u>Customer Complaints Policy</u> . <u>Compensation Policy</u> .	11.1 of the Complaints Policy sets out a range of options for putting things right. Our Compensation Policy adheres to the Housing Ombudsman's guidance. It provides guidance on remedies based low, medium and high impact.

Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include: a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.	Yes	<u>Annual Complaints Performance and Service Improvement Report 2025-26</u>	This document evidences the annual self-assessment against the Code. The provided link is our annual complaints performance and service improvement report that satisfies the requirements of this self-assessment.

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	<u>Annual Complaints Performance and Service Improvement Report 2025-26</u>	The provided link is our annual complaints performance and service improvement report that satisfies the requirements of this self-assessment. A statement from the Board is included.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	Available on our website: <u>Customer Complaints Policy</u>	2.1.4 of the Policy is explicit that Rooftop complies fully with the Code and its mandatory provisions. Monthly meetings are in place to regularly review all Housing Ombudsman activity.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	Available on our website: <u>Customer Complaints Policy</u>	2.1.4 of the Policy is explicit that Rooftop complies fully with the Code and its mandatory provisions. Monthly meetings are in place to regularly review all Housing Ombudsman activity.
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	Available on our website: <u>Customer Complaints Policy</u>	2.1.4 of the Policy is explicit that Rooftop complies fully with the Code and its mandatory provisions. Monthly meetings are in place to regularly review all Housing Ombudsman activity. Rooftop's Business Continuity Plan accounts for exceptional circumstances and instructs the related communications to customers, colleagues, the Ombudsman, Regulator of Social Housing and other other stakeholders.

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	Available on our website: <u>Customer Complaints Policy</u>	15 sets out our approach to learning from complaints.
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	Available on our website: <u>Customer Complaints Policy</u>	1.1, 15 and 16.3 set out our approach to learning from complaints.
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	Available on our website: <u>Customer Complaints Policy</u> <u>Annual Complaints Performance and Service Improvement Report 2025-26</u> <u>Customer Reports</u>	16 sets out our approach to performance monitoring. Annual complaints performance and service improvement report is available on our website. Complaint trends shared with Customer Voice Group by Complaints Resolution Manager. Tenant Satisfaction Measures are reported to board bi-monthly. Quarterly updates are provided to our customers in a format that was influenced by our 'Resident Voices' group and 'Customer Strategy Group'.

9.4	Landlords must appoint a suitably senior lead person as accountable for their complaint handling. This person must assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.	Yes	Available on our website: <u>Customer Complaints Policy</u>	16.2 The Executive Director – Customer will be the lead person accountable for complaint handling. This person must assess any themes or trends to identify potential systemic issues, 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	Available on our website: <u>Customer Complaints Policy</u>	We have appointed an MRC in accordance with 14 of the Policy.
9.6	The MRC will be responsible for ensuring the governing body receives regular information on complaints that provides insight on the landlord's complaint handling performance. This person must have access to suitable information and staff to perform this role and report on their findings.	Yes	Available on our website: <u>Customer Complaints Policy</u>	14.1 The MRC will be responsible for ensuring the Group Board receives regular information on complaints that provides insight on Rooftop's complaint handling performance. They must have access to suitable information and colleagues to perform this role and report on their findings.

9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and annual complaints performance and service improvement report.	Yes	Available on our website: <u>Customer Complaints Policy</u>	14.2 of the Policy directly aligns with this requirement.
9.8	Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to: a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments; b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and c. act within the professional standards for engaging with complaints as set by any relevant professional body.	Yes	Available on our website: <u>Customer Complaints Policy</u>	1.5 states that all colleagues will collaborate and co-operate to resolve complaints and take collective responsibility. 2 sets out our approach to statutory and regulatory requirements.



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