

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	<p>A complaint must be defined as:</p> <p><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></p>	Yes	Section 3.1 of Complaint Handling policy.	<p>Dolphin Living define a complaint as:</p> <p><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></p>
1.3	<p>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.</p>	Yes	Section 3.2 of the Complaint Handling policy	<p>All residents who express dissatisfaction to either Dolphin Living or our third party management agent Touchstone will be given the choice to make a complaint.</p>
1.4	<p>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</p>	Yes	<p>Section 3.2 of the Complaint Handling policy</p> <p><i>‘A service request is when you ask your landlord to act, for</i></p>	<p>All service requests are logged on our managing agent CRM system. They are reviewed daily by our</p>

	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.		<i>example, carry out a repair or investigate antisocial behaviour you are experiencing in your home. This will not be treated as a complaint but you may formally look to raise this as a complaint if you are unsatisfied with the outcome.'</i>	property managers and fortnightly by our asset management and customer service teams
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	Section 3.2 of the Complaint Handling policy <i>'For example, a call from a customer asking us to repair a leaking tap is a request for a repair service, and will not be treated as a complaint that the tap has broken. A call from a customer reporting that, despite their previous reports, an operative has not arrived to fix the tap is a complaint about our service and will be dealt with in accordance with this policy.'</i>	The complaint would be handled separately by our customer service team. Our managing agent and asses management team would continue to address the service request as required.
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	'Dolphin Living Customer Survey' 'Resident Engagement meeting agenda' 'Annual Resident Newsletter'	Information on how to complain is included in our customer survey, resident publications such as our annual newsletter and as a standing agenda item for resident engagement sessions

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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	Section 2.1a of the Complaint Handling 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. 	Yes	Section 2.2 of Complaint Handling policy	<p>It is not normally possible to deal with complaints using this policy where:</p> <ul style="list-style-type: none"> a) Complaints are submitted anonymously (although we may still investigate) b) The matter being complained about is directly linked to legal proceedings already started by the complainant, Dolphin Living or its agent, or has already been considered via the complaints process, the courts, or another tribunal c) The complaint concerns the content of an approved Dolphin Living policy

				<p>d) Complaints are submitted more than 12 months after the event being complained of,</p> <p>e) Exceptional circumstances apply</p>
2.3	<p>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.</p>	Yes	Section 2.1(a) of the Complaint Handling policy	<p>Dolphin Living will accept all complaints unless there is a valid reason not to do so. We will ensure that all complaints are handled individually and on their own merit. We will accept complaints outside of the 12 month time limit if there are clear and justifiable reasons for doing so.</p>
2.4	<p>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.</p>	Yes	Section 2.1 (a) of the Complaint Handling policy	<p>Dolphin Living will accept a complaint unless there is a valid reason not to do so. If Dolphin Living decides not to accept a complaint, we will provide evidence and our reasons for refusal. We will ensure that all complaints are handled individually and on their own merit.</p> <p>If Dolphin Living does not accept a complaint the resident has the right to take their complaint to the Housing Ombudsman.</p>

2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Section 2.1 (a) of the Complaint Handling policy	The Dolphin Living and Touchstone customer services teams handle all complaints individually and on their own merit.

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	Section 3.5 and 3.5 (a) of the Complaint Handling policy	Complaints can be made, in writing (e.g. letter, email), by telephone, in person, or by bringing the matter to the attention of a member of staff at a meeting or appointment. If residents are unable to communicate their complaint in English or have accessibility needs, we can discuss the best method of communication for them. For example, we can arrange a translator for residents whose first language is not English.
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	Section 3.5 of the Complaint Handling policy	Complaints can be made, in writing (e.g. letter, email), by telephone, in person, or by bringing the matter to the attention of a member of staff at a meeting or appointment. All members of staff at

				Dolphin Living and Touchstone are provided with the complaints policy and have up to date contact details for their relevant complaint handling colleagues.
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	Section 3.6 of the Complaint Handling policy	At Dolphin Living we welcome complaints as an opportunity for us to learn, make improvements and grow as an organisation
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	Section 3.5 (a) of the Complaint Handling policy https://www.dolphinliving.com/for-residents	
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	Section 6 of the Complaint Handling policy	
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	Section 3.5 (b) of the complaints policy 'Dolphin Living will 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.'	
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	Section 6 of the Complaint handling policy	

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	The Dolphin Living customer service team oversee all complaint handling. Our operations team Customer Services Manager Ryan O'Connor handles all Stage 1 complaints. Our lead Customer Services Manager Ummy Bajuny handles all Stage 2 complaints.	
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	As a small organisation the customer service team have access to staff at all levels and work closely with them on a daily basis. They are responsible for the end to end handling of the complaint and have the authority to make decision and issue their responses independently.	
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	Yes	Complaints are the priority for our customer service managers at Dolphin Living and our managing agents, as reflected in their job descriptions. All the customer service team are experienced and sufficient in complaint	

	handle complaints effectively		handling, undertaking regular training to further enhance their skills. Complaints and learnings are reviewed at monthly operational team meetings and at quarterly operational committee meetings.	
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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.	Yes	The Dolphin Living Complaint Handling policy Section 3.6 of the Complaint Handling policy	
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	Section 4 & 5 of the Complaint Handling policy	Our first Stage of a complaint is Stage 1. Stage 1 complaints are dealt with by the customer services manager at our management agent, The complaint is responded to within 10 working days. Stage 2 complaints are escalated to the landlord, Dolphin Living, which are responded to within 20 working days. We do not have a Stage 3. If residents remain unsatisfied following their Stage 2 response they can escalate their complaint to the Housing

				Ombudsman.
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	Section 4 & 5 of the Complaint Handling policy	
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	Section 4 & 5 of the Complaint Handling policy	Stage 1 complaints are dealt with by the customer services manager at our management agent, The complaint is responded to within 10 working days. Stage 2 complaints are escalated to the landlord, Dolphin Living, which are responded to within 20 working days.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Section 4.1 and 11.7 of the Complaint Handling code	We conduct regular reviews of how complaints have been handled by our managing agent and work with them to make improvements where necessary.
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	Yes	All Stage 1 and Stage 2 acknowledgments contain this information. Example copies are available on request.	

	clarification.			
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	All Stage 1 and Stage 2 acknowledgments contain this information. Example copies are available on request.	
5.8	At each stage of the complaints process, complaint handlers must: <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. 	Yes	Section 1.1, 1.2 and 3.6 of the Complaint Handling policy <i>'All complaints are treated confidentially, independently and on their own merit. They are fully investigated with all evidence reviewed and appropriate staff liaised with. If there is any perceived or actual conflict of interest this is dealt with or the complaint moved to another team member.'</i>	Our Customer Services Director regularly reviews Stage 1 and all Stage 2 complaints to ensure adherence to these mandatory guidelines.
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	We would write to the resident clearly detailing the reasons why the response was not within the codes timescales and agree update timescales with them using their preferred method of communication	
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	Yes	Section 3.5 (a) of the Complaint Handling policy	Our third party managing agents CRM and our internal CRM has a Vulnerable residents register which is updated and reviewed on a

	as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review.			regular basis. Any reasonable adjustments would be logged here.
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	Section 5.5 and 5.6 of the Complaint Handling policy	
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 complaints, the investigation & evidence and outcomes are saved on our managing agents CRM system Qube & our internal CRM system on sharepoint.	
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	Section 4 and 5 of the Complaint Handling policy. All our customer services team are trained to resolved complaints as swiftly as possible, and are given autonomy to do this.	
5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents	Yes	Section 7 and 8 of the Complaint Handling policy Dolphin Living's Unacceptable	

	and/or their representatives. Landlords must be able to evidence reasons for putting any restrictions in place and must keep restrictions under regular review.		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	Dolphin Living's Unacceptable Behaviour policy	

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	Section 4 of the Complaint Handling policy	
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	Section 4 of the Complaint Handling policy	
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Section 4 of the Complaint Handling policy	Example Stage 1 complaints are available on request
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident	Yes	Section 4 of the Complaint Handling policy	

	of the expected timescale for response. Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident.			
6.5	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes	The Ombudsman's contact details are included in all complaint communication	
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	Section 4 of the Complaint Handling policy	All outstanding actions are tracked and reviewed at our weekly operations meeting. Residents are updated throughout by both asset management and customer services teams
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	Section 4 of the Complaint Handling policy	Example Stage 1 responses are available on request
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	Yes	The customer service manager ensures that any additional complaints are responded to within the stage 1 response if appropriate. If not this will be logged as a new response and dealt with separately following the complaints process.	

	investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.			
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> 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. 	Yes	Section 4 of the Complaint Handling policy	Example Stage 1 responses are available on request

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	Section 5 of the Complaint Handling policy	
6.11	Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaints procedure	Yes	Section 5 of the Complaint Handling policy	

	within five working days of the escalation request being received.			
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	We accept all Stage 2 responses without further explanation from the resident. Unless they fall under reasons for not accepting the complaint as set out by the code.	It is helpful if a resident can explain the reasons they remain dissatisfied but we will remove the word 'should' from section 5.6 of the Complaint Handling policy
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Stage 1 complaints are handled by our third party managing agents. Stage 2 complaints are handled by the Dolphin Living customer service team. It could not be the same person considering the complaint.	
6.14	Landlords must issue a final response to the stage 2 within 20 working days of the complaint being acknowledged.	Yes	Section 5.3 of the Complaint Handling policy	
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	Section 5 of the Complaint Handling policy	
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	The Ombudsmans contact details are included in all complaint communication	
6.17	A complaint response must be provided	Yes	Section 5 of the Complaint	All outstanding actions are

	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.		Handling policy	tracked and reviewed at our weekly operations meeting. Residents are updated throughout by both asset management and customer services teams
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.		Section 5 of the Complaint Handling policy	Example Stage 2 responses are available on request
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: <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. 	Yes	Section 5 of the Complaint Handling policy	Example Stage 2 responses are available on request
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a	Yes	Stage 2 responses are reviewed and the final response agreed by two Directors – our highest level	

	response.		of senior staff	
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Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> • 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	Example complaint responses are available on request	
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Section 3.7 and 3.8 of the Complaint Handling policy	Any compensation is awarded as per the policy and any resolutions offered are realistic and within Dolphin Living's capability.

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	Example complaint responses are available on request.	All remedies are logged on our CRM systems and the customer service team review these regularly to ensure completion
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	The Ombudsman's guidance is considered at all stages of the complaints process including remedies.	

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"> 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 f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. 	Yes	<p>'Dolphin Living's Annual Complaints Performance & Service Improvement report'</p> <p>Available on our website: For residents Dolphin Living</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	<p>'Governing Body message'</p> <p>Available on our website: For residents Dolphin Living</p>	
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes		
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes		
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		

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	All complaints are reviewed by the customer services team and the customer services director. This includes analysing reasons and themes and makes changes to processes and systems where necessary. For example we have recently carried out a review of our repairs service as this area is our largest cause for complaints and are making changes to a number of processes	
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	Section 1.1, 1.2 and 3.11 of the Complaint Handling policy	We review lessons learnt following all complaint responses and use these to make necessary service changes across the organisation
9.3	Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees.	Yes	We report on learning and improvements at our quarterly Operations Committee, in resident newsletters and engagement events and publish an annual report. The customer service team review lesson learnt from complaints at monthly meetings.	

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	The Customer Services Director is the lead member of staff responsible for complaint handling. They review all themes and trends on a continual basis alongside the Asset Management Director.	
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	Ben Laryea is our Member Responsible for Complaints. He is also a Board Member and sits on our Operational Committee.	
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	Our MRC has access to all customer service data and reports and works alongside our customer service team	
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	Yes	A Customer Services Report which includes a review of complaints, complaint handling, trends and learnings is produced and analysed by Board Members on a quarterly basis at our Operations Committee.	

	<p>handling;</p> <p>c. regular updates on the outcomes of the Ombudsman's 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>Dolphin Living is a non hierarchical organisation with a customer centric approach running throughout. All teams collaborate together to resolve resident issues and we focus on resolution not blame. Our staff undergo regular training to ensure compliance with standards set by relevant professional bodies.</p>	