

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 complaint's performance and service improvement report on their website. The governing body's response to the report must be published alongside this.

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

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

Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	A complaint must be defined as: <i>'An expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.'</i>	Yes	Complaints Policy - Section 3.2 'Providing clarity on what is a service request and what is a complaint' Connexus Complaints Policy Connexus (connexus-group.co.uk) Complaints page of the Connexus website 'What is a complaint?' Connexus website - Complaints	This definition was adopted when the Complaint Handling Code was published and is used in our complaints policy and published on our 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	Complaints Policy - Section 3.2 'Providing clarity on what is a service request and what is a complaint' Complaints Policy - Section 3.3 'Defining who can make a complaint' Complaints page on the Connexus website 'What is a complaint?'	Extract from the complaints policy and/or website: <i>"A customer does not have to use the word "complaint" for Connexus to treat their concern as a complaint. If a customer tells us they are unhappy with our service, we will give them the option to make a complaint."</i> <i>"Any individual who is a tenant, licensee, leaseholder or shared</i>

			Connexus website - Complaints	<i>owner of Connexus, or requests or receives a service from Connexus, or any of its subsidiaries; or a specific named person asked to act as an advocate on behalf of such an individual. This person must have permission to raise a complaint on behalf of a service user and Connexus will require explicit consent from them to use the nominated person”</i>
1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be recorded, monitored and reviewed regularly.	Yes	Complaints policy - Section 3.2 ‘Providing clarity on what is a service request and what is a complaint’ Complaints page of the Connexus website ‘What is a complaint?’ Connexus website - Complaints	Service requests are recorded on the Complaints system as Service Requests. Service Requests are allocated a complaint reference number as this allows the monitoring of themes/service area/learning in the same way as complaints. It allows the move from a service request to a complaint with all the notes in the same place if the issue has not been put right.
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	Yes	Complaints policy - Section 3.8 ‘Resolving issues promptly and fairly’	Extract from the complaints policy and/or website: <i>“We log, monitor and review service requests. If a customer</i>

	must not stop their efforts to address the service request if the resident complains.			<i>is dissatisfied with the response to a service request, we will open a Stage 1 complaint, but we will not stop trying to resolve the service request."</i>
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	The IFF (data research company) interviewer is instructed to read a set script at the end of each survey (TSM survey/ Repairs and Gas/ Investments/ Development/ Moving In) Connexus is changing provider for 2026-27, and this process has been replicated. On the SMS surveys sent from Connexus, we respond if a customer has scored the service 1 or 2 and advise them how to complain	IFF Script: <i>'If you do have any further queries, including if you are dissatisfied with a service experience, Connexus Customer Services can help. You can raise a complaint via phone, email or via their website. Would you like me to provide these contact details? "</i> SMS wording: <i>'As you have expressed dissatisfaction in your feedback scores/comments, your concerns will be investigated further, however, please note these will not be logged as a complaint. If you do wish to complain, you can do this by contacting customer services on 03332 31 32 33; via email Complaints@connexus-group.co.uk or by visiting the website https://Connexus-group.co.uk/complaints</i>

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	Complaints policy - Section 3.4 'Clarifying when we will not accept a complaint' Complaints page of the Connexus website 'If we cannot accept your complaint' Connexus website - Complaints	Confirmation is given in both the policy and on the website: <i>"We will consider the individual circumstances for each complaint"</i> <i>'If Connexus will not accept a complaint, we will provide an explanation in writing to the complainant and advise them of their right to take their complaint further with the Housing Ombudsman (where applicable) or another appropriate organisation'</i>
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:	Yes	Complaints policy - Section 3.4 'Clarifying when we will not accept a complaint' Complaints page of the Connexus website 'If we cannot accept your complaint'	The exclusions listed in the Housing Ombudsman Code are listed along with clarity around other exclusions. Where there is an allegation of illegal or criminal wrongdoing

	- 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.		Connexus website - Complaints	which should be dealt with through police/courts or other appropriate organisations in conjunction with our HR team. This includes allegations of violence/ intimidation/ harassment or theft. The policy also makes clear that complaints relating to the handling of personal data will not be excluded unless there is a clear and lawful reason to do so.
2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.	Yes	Complaints policy - Section 3.4 'Clarifying when we will not accept a complaint'	Extract from the complaints policy and/or website: <i>"We will consider the individual circumstances for each complaint"</i>
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	Yes	Complaints policy - Section 3.4 'Clarifying when we will not accept a complaint' Complaints page of the Connexus website 'If we cannot accept your complaint' Connexus website - Complaints	Extract from the complaints policy and/or website: <i>"If Connexus will not accept a complaint, we will provide an explanation in writing to the complainant and advise them of their right to take their complaint further with the Housing Ombudsman (where applicable)"</i>

	fairly applied, the Ombudsman may tell the landlord to take on the complaint.			<i>or another appropriate organisation”</i>
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Complaints policy - Section 3.4 ‘Clarifying when we will not accept a complaint’	Extract from the complaints policy and/or website: <i>“We will consider the individual circumstances for each complaint”</i>

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	Complaints policy – Section 3.1 ‘Providing an accessible complaints process’ Complaints policy – Section 3.11 ‘Ensuring Policies are accessible and when to apply reasonable adjustments’ Complaints page of the Connexus website under ‘How to make a complaint’ Connexus website - Complaints	Extract from the complaints policy and/or website: <i>“We will provide customers with easy access to the complaints process, giving them a choice in how they can make a complaint without delay.</i> <i>A customer can complain in any way that is easy for them”</i> <i>“The Formal Complaints process has been designed to be accessible to all, but we will</i>

				<i>proactively ask customers if they need any support or reasonable adjustments when accessing/using our services”</i> <i>‘All policies are subject to an Equalities Impact Assessment to ensure that any adaptations to the normal policy or procedure may be applied to accommodate an individual’s needs’</i> <i>‘We believe in providing equal opportunities for all by ensuring our customers’ needs are recognised and met. Where possible, we will make reasonable adjustments to ensure residents can access our services. To find out more, check our reasonable adjustments policy.’</i>
3.2	Residents must be able to raise their complaints in any way and with any member of staff. All staff must be aware of the complaints process and be able to pass details of the complaint to the appropriate person within the landlord.	Yes	Complaints policy – Section 3.1 ‘Providing an accessible complaints process’ Complaints page of the Connexus website under ‘How to make a complaint’ Connexus website - Complaints	Customers can raise a complaint through any communication channel or with any colleague. Colleagues are responsible for ensuring complaints are directed into the complaint process without delay.

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	Complaints policy – Section 1.2 ‘Purpose’ Complaints policy – Section 3.12 ‘Improving our Services through learning from complaints’	Stage 1 complaints rose from 368 in 2024-25 to 697 in 2025-26, an increase of 329 complaints (89% increase) This not only demonstrates that customers find our complaints process easy to access, but an increased awareness and confidence among customers to use our complaints 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	Complaints policy – Section 3.6 ‘Providing a clear complaint process’ Complaints page of the Connexus website ‘The complaints process’ Connexus website - Complaints	The complaints policy and the website clearly describe Connexus’ two-stage complaints process together with the response time scales for each stage.
3.5	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.	Yes	Complaints Policy – Section 5 ‘Measurement’ Complaints page of the Connexus website The Housing Ombudsman Service Learning from complaints Connexus website - Complaints	Extract from the complaints policy and/or website: <i>“We will demonstrate to customers what we are learning from complaints and what we have changed, at least annually, through our newsletter which is sent to every customer”</i>

				In our winter newsletter (2025), we featured an article 'Your right to complain - and be heard' which explained the complaint process, how to make a complaint and the support available including how to access the Housing Ombudsman support.
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	Complaint Policy – Section 3.3 'Defining who can make a complaint'	Connexus accepts complaints submitted by an authorised representative or advocate once the customer's consent has been confirmed. The policy also explains how any contact restrictions applying to an advocate will be managed.
3.7	Landlords must provide residents with information on their right to access the Ombudsman service and how the individual can engage with the Ombudsman about their complaint.	Yes	Complaints policy – Section 4.2 'Method' Our acknowledgement and response letters have a standard paragraph to notify the customer about the Housing Ombudsman	Extract from the complaints policy and/or website: <i><u>'You can <u>contact the Housing Ombudsman directly</u> for advice at any time.</u></i> <i>If at the end of our complaint process, you remain dissatisfied, you can refer your complaint to the Housing Ombudsman. This</i>

			Complaints page of the Connexus website under 'The Housing Ombudsman Service' <u>Complaints Connexus</u> (connexus-group.co.uk)	<i>should be within 12 months of reaching the end of our complaints process.'</i> In our newsletter in Winter 2025 we advised: <i>'You can also contact the Housing Ombudsman Service at any time. They offer free, impartial advice and support on making complaints. You can reach them at www.housing-ombudsman.org.uk or call 0300 111 3000.'</i> Standard letter wording: <i>'The Housing Ombudsman are available to assist customers during the complaint process, so should you wish to contact them, their details are below.</i> <i>By phone: Tel: 0300 111 3000 / 9.00am-5.00pm: Monday to Wednesday and Friday; on Thursdays: 9am – 3.30pm</i> <i>By post: Housing Ombudsman Service, PO Box 1484, Unit D, Preston, PR2 0ET</i>
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				Online: https://www.housing-ombudsman.org.uk/residents/make-a-complaint
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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	Complaints Policy – Section 4.3 'Roles and responsibilities for complaint handling'	Connexus has a dedicated customer experience team responsible for managing the complaints process, monitoring compliance with the Housing Ombudsman Complaint Handling code, liaising with Housing Ombudsman and reporting complaint performance to senior management and the government body. The Chief Operating Officer has overall responsibility for complaint handling.
4.2	The complaints officer must have access to staff at all levels to facilitate the prompt resolution of complaints. They must also have	Yes		Extract from the complaints policy and/or website:

	the authority and autonomy to act to resolve disputes promptly and fairly.		Complaints Policy – Section 4.3 'Roles and responsibilities for complaint handling'	<i>"We will have appropriate managers who will respond to complaints. They will:</i> <i>a) Have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments</i> <i>b) Take collective responsibility for any shortfalls identified through complaints, rather than blaming others</i> <i>c) Act within the professional standards for engaging with complaints as set by any relevant professional body</i> <i>d) have the appropriate authority to offer suitable remedies to resolve a complaint"</i>
4.3	Landlords are expected to prioritise complaint handling and a culture of learning from complaints. All relevant staff must be suitably trained in the importance of complaint handling. It is important that complaints are seen as a core service and must be resourced to handle complaints effectively	Yes	Complaints policy – Section 3.7 'Ensuring complaint responses are not biased and that colleagues have the relevant authority' Complaints Policy – Section 4.3 'Roles and responsibilities for complaint handling' Complaints Policy – Section 5.7	Extract from the complaints policy and/or website: <i>"Colleagues who as part of their role either respond to, or receive complaints, will receive ongoing training to ensure their skills and knowledge are maintained"</i>

			'Measurement'	
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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	Complaints policy - Section 2 'Scope' Complaints policy - Section 3.10 'Providing opportunities for customers to appeal decisions' Complaints page of the Connexus website 'Why we want complaints' Connexus website - Complaints	Extract from the complaints policy and/or website: <i>"The policy applies to the whole of the Group. This means Connexus Homes Limited, (ultimate parent) and all its subsidiaries."</i> Website: <i>"Making a complaint will not result in discrimination or a reduced level of service."</i>
5.2	The early and local resolution of issues between landlords and residents is key to effective complaint handling. It is not appropriate to have extra named stages (such as 'stage 0' or 'informal complaint') as this causes unnecessary confusion.	Yes	Complaints policy - Section 3.8 'Resolving issues promptly and fairly'	Extract from the complaints policy and/or website: <i>'The early and local resolution of issues between Connexus and our customers is key to effective complaint handling. If a customer expresses dissatisfaction, we will explain the complaints process and discuss an individual's concerns and how best to resolve</i>

				<i>them. These efforts will not obstruct access to the formal complaints procedure or result in any unreasonable delay.'</i>
5.3	A process with more than two stages is not acceptable under any circumstances as this will make the complaint process unduly long and delay access to the Ombudsman.	Yes	Complaints policy - Section 3.6 'Providing a clear complaint process' Complaints page of the Connexus website 'The complaints process ' Connexus website - Complaints	Extract from the complaints policy and/or website: <i>'Connexus has a two-stage complaint process with specified timescales in which to respond'</i>
5.4	Where a landlord's complaint response is handled by a third party (e.g. a contractor or independent adjudicator) at any stage, it must form part of the two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes.	Yes	Complaints Policy – Section 4.3 'Roles and responsibilities for complaint handling'	Complaint responses are undertaken by appropriately authorised Connexus managers or complaints managers. Customers are not required to pursue a separate complaints process with contractors or third parties.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	As 5.4	As 5.4
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	Yes	Complaints policy - Section 3.6 'Providing a clear complaint process'.	At both stage 1 and stage 2 Connexus acknowledges, defines and logs the complaint. All acknowledgement letters confirm our understanding of the

	as “the complaint definition”. If any aspect of the complaint is unclear, the resident must be asked for clarification.		The acknowledgement letter templates include this detail. Complaints policy - Section 4.2 ‘Methods’	complaint and the outcome the customer is seeking. Extract from the complaints policy and/or website: <i>“The acknowledgement letter at both stages will set out the reason for the complaint and the outcome the customer is seeking.”</i>
5.7	When a complaint is acknowledged at either stage, landlords must be clear which aspects of the complaint they are, and are not, responsible for and clarify any areas where this is not clear.	Yes	Complaints Policy – Section 4.3 ‘Roles and responsibilities for complaint handling’	Extract from the complaints policy and/or website: <i>“Be clear what is, or is not, within our responsibility and manage expectations of a possible outcome”.</i> Managers are responsible for clearly explaining what is and is not within Connexus’ responsibility for managing expectations regarding possible outcomes.
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;	Yes	Complaints policy – Section 3.7 ‘Ensuring complaint responses are not biased and that colleagues have the relevant authority’	Extract from the complaints policy and/or website: <i>“A Manager from the service area about which there is a complaint, will investigate and respond. They will not have had any involvement</i>

	c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully.		Complaints Policy – Section 4.3 ‘Roles and responsibilities for complaint handling’	<i>in the issue prior to receiving the complaint.’</i> <i>‘A Connexus Complaints Manager will investigate, review and respond, or a colleague at a suitably senior level. Again, they will not have been involved prior to the stage 2 review. They will be authorised to provide a final response on behalf of Connexus.’</i> • <i>Be positive about complaints</i> • <i>Give the resident a fair chance to set out their position”</i>
5.9	Where a response to a complaint will fall outside the timescales set out in this Code, the landlord must agree with the resident suitable intervals for keeping them informed about their complaint.	Yes	Complaints policy - Section 3.6 ‘Providing a clear complaint process’ Complaints page of the Connexus website ‘The complaints process ‘ Connexus website - Complaints	Extract from the complaints policy and/or website: <i>“Extensions to these timescales may be required. If so, we will contact the customer beforehand and clearly state our reasons why”</i> <i>“If we need more time, we will explain why and confirm a new response date within an agreed timescale”</i>
5.10	Landlords must make reasonable adjustments for residents where appropriate under the Equality Act	Yes	Complaints Policy - Section 3.11 ‘Ensuring Policies are	Extract from the complaints policy and/or website:

	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.		accessible and when to apply reasonable adjustments' Reasonable adjustment policy Reasonable Adjustments Complaints page of the Connexus website 'How to make a complaint' Connexus website - Complaints	<i>"The Formal Complaints process has been designed to be accessible to all, but we will proactively ask customers if they need any support or reasonable adjustments when accessing/using our services. We will do this in the following ways:</i> <i>• By including a paragraph in written communications (e.g. acknowledgement letters) that proactively asks if adjustments or support are needed.</i> <i>• By asking whether a reasonable adjustment might be required over the telephone.</i> <i>• By including a note on our published documents indicating that we can provide the document in an alternative format on request.</i> <i>We will record any reasonable adjustments requested when dealing with the complaint. This will be in accordance with the Reasonable Adjustments Policy and procedure</i> <i>We believe in providing equal opportunities for all by ensuring our customers' needs are</i>
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				<i>recognised and met. Where possible, we will make reasonable adjustments to ensure residents can access our services. To find out more, check our reasonable adjustments policy."</i>
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	Complaint policy - Section 3.9 'Defining the timescale in which a complaint can be escalated'	Extract from the complaints policy and/or website: <i>'We will accept a request to escalate a complaint once we have provided our written stage 1 complaint response, up to a calendar month after the actions promised in the stage 1 outcome have been completed.</i> <i>Any request to escalate received outside of the above timescale, will be considered on a case-by-case basis by the Complaints team"</i>
5.12	A full record must be kept of the complaint, and the outcomes at each stage. This must include the original complaint and the date received, all correspondence with the resident, correspondence with other parties, and any relevant supporting documentation such as reports or surveys.	Yes	Complaints policy - Section 3.6 'Providing a clear complaint process'	Extract from the complaints policy and/or website: <i>'Record keeping during all stages of a complaint is crucial, as such Connexus will keep comprehensive records of what we do to try and resolve an individual's concerns, including</i>

				<i>recording them on our central complaint system'</i>
5.13	Landlords must have processes in place to ensure a complaint can be remedied at any stage of its complaints process. Landlords must ensure appropriate remedies can be provided at any stage of the complaints process without the need for escalation.	Yes	Complaints Policy - Section 3.8 'Resolving issues promptly and fairly ' Complaints Policy – Section 4.3 'Roles and responsibilities for complaint handling'	Extract from the complaints policy and/or website: <i>"We will open a Stage 1 complaint, but we will not stop trying to resolve the service request"</i> <i>"We will have appropriate managers who will respond to complaints. They will:</i> <i>a) Have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments</i> <i>b) Take collective responsibility for any shortfalls identified through complaints, rather than blaming others</i> <i>c) Act within the professional standards for engaging with complaints as set by any relevant professional body</i> <i>d) have the appropriate authority to offer suitable</i>

				<i>remedies to resolve a complaint</i> <i>We will recognise that putting things right is every colleague's responsibility"</i>
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	Unacceptable User Actions and Behaviour Policy – Section 3.13 'Managing Unacceptable Actions by Users' Unacceptable User Actions and Behaviour Policy – Section 3.18 'Managing Unacceptable Actions by Users' Unacceptable User Actions and Behaviour Policy – Section 3.27 'Case Review' Website - Policy page: Documents unacceptable-user-actions-and-behaviour-policy	Extract from the complaints policy and/or website: <i>"Managing a user's action depends on their nature and extent and each case will be treated on an individual basis. If a user's action/s adversely affects our ability to do our work and provide a service to others, we may consider taking more formal action"</i> <i>The actions we will consider can include the following: -</i> • <i>Warning the customer about their behaviour and requesting that the customer modifies their behaviour in future contact with us; noting the consequences to not doing so.</i> • <i>Appointing a specific point of contact for the customer</i> • <i>Restricting or limiting contact with Connexus e.g. communicating</i>

				<i>only in writing, e-mail or via a nominated representative</i> • <i>Recording of meetings were deemed necessary; customers will be advised in advance</i> • <i>Deciding not to investigate a complaint or issue</i> • <i>In exceptional circumstances, notify relevant public authorities where significant security or health and safety concerns are identified.</i> <i>“Connexus will undertake a review of each case on a biannual basis. The review will be conducted by an independent Head of Service and will consider whether, in the opinion of the reviewer, the user’s behaviour has improved sufficiently to remove all restrictions and/or remove certain/specific restriction.”</i>
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	Unacceptable User Actions and Behaviour Policy – Section 3.22 ‘Reasonable Adjustments’ There is an equality impact assessment with the policy that ensures it does not adversely affect customers with protected characteristics	Extract from the complaints policy and/or website: <i>“We will always consider making reasonable adjustments for a resident if we are asked to do so.”</i>

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	Complaints Policy - Section 3.8 'Resolving issues promptly and fairly ' Complaints Policy - Section 3.11 'Ensuring Policies are accessible and when to apply reasonable adjustments' Complaints Policy – Section 4.3 'Roles and responsibilities for complaint handling'	Extract from the complaints policy and/or website: <i>“The early and local resolution of issues between Connexus and our customers is key to effective complaint handling. If a customer expresses dissatisfaction, we will explain the complaints process and discuss an individual’s concerns and how best to resolve them. These efforts will not obstruct access to the formal complaints procedure or result in any unreasonable delay”</i> <i>“We want to resolve issues as early as possible, but when a complaint is raised, we will follow the complaints process and will respond within the timescales set out for that stage.”</i>

6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaint's procedure <u>within five working days of the complaint being received</u> .	Yes	Complaints policy - Section 3.6 'Providing a clear complaint process' Complaints page of the Connexus website 'The complaints process ' Connexus website - Complaints	<i>"We will: acknowledge, define and log a complaint at stage 1 and 2 within five working days of the complaint being received (stage 1)"</i>
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Complaints policy - Section 3.6 'Providing a clear complaint process' Complaints page of the Connexus website 'The complaints process ' Connexus website - Complaints	Extract from the complaints policy and/or website: <i>"We will: respond to a Stage 1 (Complaint) by the 10th working day from the acknowledgment date"</i> We are compliant in policy for the purposes of this self-assessment; we are not compliant in practice in terms of performance for this element of the code. Details of this can be found in Connexus's Complaints Performance and Service Improvement Report 2025/26, along with the route back to compliance by the end of 26/27.
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and	Yes	Complaints policy - Section 3.6 'Providing a clear complaint process'	Extract from the complaints policy and/or website:

	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.		Complaints page of the Connexus website 'The complaints process ' Connexus website - Complaints	<i>"Extensions to these timescales may be required. If so, we will contact the customer beforehand and clearly state our reasons why."</i> <i>• Stage 1 complaint extensions will be no longer than an additional ten working days without good reason"</i> <i>'If we need more time, we will explain why and confirm a new response date within an agreed timescale.'</i>
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	<i>In our internal procedure, guidance is given to managers they must tell customers about the Housing Ombudsman when extending a due date.</i> <i>All acknowledgement letters advise customers that the Housing Ombudsman are available to support customers during the complaint process.</i> Complaints page of the Connexus website 'The complaints process 'Connexus website - Complaints	'Connexus' acknowledgement letter: <i>'If we find, during our investigation that we need more time to investigate, we may advise you that we are extending this deadline, up to a further 10 working days, and will explain the reason why. If we do require an extension, we will contact you before the above due date and provide a new date by when we will respond. Should we do this, you have the right to contact the Ombudsman, the contact details for which are below.'</i> Website wording:

				<i>'If we extend a timescale, we will remind you of the contact details for the Housing Ombudsman'</i>
6.6	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes	Complaints policy - Section 3.6 'Providing a clear complaint process'	<i>"Following the completion of our investigation, we will send a written response. This will outline the reasons for our decision, referencing the relevant policy, law and good practice where appropriate. We will also advise how we have been able to resolve the matter, or the proposed actions we will take to do so. If there are outstanding actions, we will provide clarity on what to expect next and by when"</i>
6.7	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	Complaints policy - Section 4.2 'Methods'	<i>"We will:</i> <i>• Clearly explain the reasons for our decisions."</i>
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	Yes	Complaints policy - Section 4.2 'Methods'	<i>"Where a customer raises additional issues during a Stage 1 investigation, we will discuss this with the customer and confirm whether the issues are related to the original complaint:</i> <i>• Where the additional issues</i>

	already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.			<i>are clearly related and can be investigated without causing unreasonable delay to the Stage 1 response, they will be included within the existing complaint.</i> • <i>Where the issues are unrelated, raised after the Stage 1 response has been issued, or would unreasonably delay the response, we will register these as a new Stage 1 complaint. We will clearly explain this to the customer, including the reasons for the decision and how the new complaint will be handled.</i>
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	Yes	Complaints policy - Section 3.6 'Providing a clear complaint process Within our internal complaint's procedure, managers use a template which ensures these details are included. Complaints page of the Connexus website 'The complaints process – stage 1 'Connexus website - Complaints	<i>"Following the completion of our investigation, we will send a written response. This will outline whether we have been able to resolve the matter or whether there are actions to be completed to do so. If there are outstanding actions, we will provide clarity on what to expect next and by when."</i> Our website confirms: <i>"Our Stage 1 response will confirm: the stage, the complaint definition, our decision and</i>

	g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.			<i>reasons, any remedy (for example, an apology, action we will take) and outstanding actions, and how to escalate to Stage 2 along with information on how to contact the Housing Ombudsman."</i>
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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	Complaints policy - Section 3.9 'Defining the timescale in which a complaint can be escalated' Our stage 1 response letter always includes the following paragraph: <i>'If you feel that we are unable to reach a suitable outcome, you may request that your complaint is escalated to the next stage of our complaints procedure, which is a Review by the Complaints Manager'</i>	<i>"We will accept a request to escalate a complaint once we have provided our written stage 1 complaint response, up to a calendar month after the actions promised in the stage 1 outcome have been completed.</i> <i>Any request to escalate received outside of the above timescale, will be considered on a case-by-case basis by the Complaints team."</i>
6.11	Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaint's procedure within five working days	Yes	Complaints policy - Section 3.6 'Providing a clear complaint process'	<i>"We will:</i> <i>• acknowledge, define and log a complaint at stage 1 and 2 within five working days of the complaint</i>

	of the escalation request being received.		Complaints page of the Connexus website 'The complaints process ' Connexus website - Complaints	<i>being received (stage 1) or a request to escalate the complaint (stage 2).</i>
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	As 6.11	As 6.11
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Complaints Policy – Section 3.7 'Ensuring complaint responses are not biased and that colleagues have the relevant authority '	<i>"A Connexus Complaints Manager will investigate, review and respond, or a colleague at a suitably senior level. They will not have been involved prior to the stage 2 review. They will be authorised to provide a final response on behalf of Connexus."</i>
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	Complaints policy - Section 3.6 'Providing a clear complaint process'	<i>"We will respond to a Stage 2 (Review) by the 20th working day from the acknowledgment date"</i>
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	Yes	Complaints policy - Section 3.6 'Providing a clear complaint process'	<i>"Extensions to these timescales may be required. If so, we will contact the customer beforehand and clearly state our reasons why."</i>

	than 20 working days without good reason, and the reason(s) must be clearly explained to the resident.			<i>“Stage 2 complaint extensions will be no longer than an additional 20 working days without good reason”</i>
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	In our internal procedure, managers will advise customers about the Housing Ombudsman when extending a due date. All acknowledgement letters advise customers that the Housing Ombudsman are available to support customers during the complaint process. Complaints page of the Connexus website ‘The complaints process ‘ Connexus website - Complaints	Website wording: <i>‘If we extend a timescale, we will remind you of the contact details for the Housing Ombudsman’</i>
6.17	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes	Complaints policy - Section 3.6 ‘Providing a clear complaint process’	<i>Following the completion of our investigation, we will send a written response. This will outline the reasons for our decision, referencing the relevant policy, law and good practice where appropriate. We will also advise how we have been able to resolve the matter, or the proposed actions we will take to do so. If there are outstanding actions, we will provide clarity on what to expect next and by when</i>

6.18	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	Complaints policy - Section 3.6 'Providing a clear complaint process Complaints policy - Section 4.2 'Methods' Complaints page of the Connexus website 'The complaints process – stage 2 'Connexus website - Complaints	<i>“Following the completion of our investigation, we will send a written response. This will outline the reasons for our decision, referencing the relevant policy, law and good practice where appropriate. We will also advise how we have been able to resolve the matter, or the proposed actions we will take to do so. If there are outstanding actions, we will provide clarity on what to expect next and by when”</i> <i>“We will</i> <i>• Clearly explain the reasons for our decisions.”</i> Website wording: <i>Our Stage 2 response will confirm: the stage, the complaint definition, our decision and reasons, any remedy and outstanding actions, and how to refer your complaint to the Housing Ombudsman.</i>
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:	Yes	Complaints page of the Connexus website 'The complaints process – stage 2 'Connexus website - Complaints	Website wording: <i>“Our Stage 2 response will confirm: the stage, the complaint definition, our decision and</i>

	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.		Within our internal complaints procedure managers will use a template which ensures these details are included.	<i>reasons, any remedy and outstanding actions, and how to refer your complaint to the Housing Ombudsman".</i>
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Complaints policy - Section 3.7 'Ensuring complaint responses are not biased and that colleagues have the relevant authority'	<i>"A Connexus Complaints Manager will investigate, review and respond, or a colleague at a suitably senior level. They will not have been involved prior to the stage 2 review. They will be authorised to provide a final response on behalf of Connexus."</i>

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	Yes	Complaints Policy - Section 3.12 'Improving our Services through learning from complaints'	Connexus recognises and acknowledges where service has fallen below the expected

	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.		Complaints Policy – Section 4.3 ‘Roles and responsibilities for complaint handling’	standard and is committed to putting things right promptly. Complaint investigations identify where service failures have occurred, any remedies required for the individual customer and wider learning to improve future service delivery. Where appropriate, improvements are made to processes, guidance or the application of policy.
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Connexus’ Compensation policy is available on the documents page of Connexus website -: Documents compensation-policy.pdf	The compensation policy reflects the Housing Ombudsman’s Remedies Guidance.
7.3	The remedy offer must clearly set out what will happen and by when, in agreement with the resident where appropriate. Any remedy proposed must be followed through to completion.	Yes	Complaints policy - Section 3.6 ‘Providing a clear complaint process	<i>“Following the completion of our investigation, we will send a written response. This will outline the reasons for our decision, referencing the relevant policy, law and good practice where</i>

				<i>appropriate. We will also advise how we have been able to resolve the matter, or the proposed actions we will take to do so. If there are outstanding actions, we will provide clarity on what to expect next and by when”</i>
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Connexus’ Compensation policy is available on the documents page of Connexus website -: Documents compensation-policy.pdf	Connexus has used the Housing Ombudsman’s Remedies Guidance to develop both its Compensation Policy and internal guidance. Complaint outcomes and compensation offers are also benchmarked against relevant Housing Ombudsman determinations to promote consistency and fairness.

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.	Yes	Complaints page of the Connexus website ‘Learning from complaints ‘ Connexus website - Complaints This has links to the following document which is updated annually:	In addition to the website location, we promoted our report in the Connect magazine Connect issue 8 - Winter 2025 Documents Connexus The report identifies areas where operational practice did not always

	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.		<u>Complaints Performance and Service Improvement report 2025-26</u>	meet the standards set out in the complaints policy and the Housing Ombudsman's Complaint Handling Code. These areas have been transparently reported together with the actions being taken to improve compliance.
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>Complaint Performance and Service Improvement report (2025-26)</u>	The Complaint Performance and Service Improvement report is presented to the Customer Committee for scrutiny before approval by Connexus' board. Following approval, both the report and the government body's response to the report are

				published on the Connexus website
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	Complaints policy - Section 5.5 'Measurement'	<i>"We will complete a Self-Assessment against the Housing Ombudsman Code of Practice and Annual Complaints Performance and Service Improvement Report by the specified deadline each year. We will ensure that this is made available to customers for scrutiny and challenge and shared with the Housing Ombudsman."</i> <i>"In addition, if Connexus undergoes any restructure or merger, or makes any significant change to its complaint procedures, Connexus will complete a new self-assessment and publish this. similarly, if the Housing Ombudsman requests a review following a determination, we will do so. The annual review will then be completed every 12 months from this date."</i>
8.4	Landlords may be asked to review and update the self-assessment	Yes	Complaints policy - Section 5.5 'Measurement'	<i>"In addition, if Connexus undergoes any restructure or</i>

	following an Ombudsman investigation.			<i>merger, or makes any significant change to its complaint procedures, Connexus will complete a new self-assessment and publish this. similarly, if the Housing Ombudsman requests a review following a determination, we will do so. The annual review will then be completed every 12 months from this date."</i>
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		There has been no reason not to be able to comply with the Housing Ombudsman Complaint Handling code this year.

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	Complaints Policy - Section 3.12 'Improving our Services through learning from complaints'	<i>"We will accurately record customers' complaints and what we do to resolve them so that we can identify what needs to be 'put right' in terms of behaviour, process, or systems.</i>

				<i>The data we gather will be reviewed each quarter to ensure we are making best use of the intelligence we are gathering and to spot emerging trends.</i> <i>This will benefit all customers and colleagues; and in turn, ensure that we are taking learning from complaints to improve services for all customers."</i>
9.2	A positive complaint handling culture is integral to the effectiveness with which landlords resolve disputes. Landlords must use complaints as a source of intelligence to identify issues and introduce positive changes in service delivery.	Yes	Complaints Policy – Section 1 'Purpose' Complaints Policy - Section 3.12 'Improving our Services through learning from complaints'	<i>"We will ensure that Connexus views complaints as an opportunity to improve. We will highlight poor practice and put it right; taking each complaint as an opportunity to learn."</i>
9.3	Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees.	Yes	Complaints policy - Section 5.3 'Measurement' Connect newsletters: Connect Magazine Summer 2025 Connexus Connect Magazine Winter 2025 Connexus	<i>'We will demonstrate to customers what we are learning from complaints and what we have changed, at least annually, through our newsletter which is sent to every customer'</i> Colleagues and customers are involved in the Voice of the Customer Forum which uses customer feedback to identify and address areas for improvement.

				Senior Managers receive complaint handling updates through Senior Management Team meetings in addition to the customer voice report every six months. Our Complaints Managers also attend team meetings to review and discuss complaints performance, including themes/root cause of complaints.
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	Complaints Policy – Section 4.3 ‘Roles and responsibilities for complaint handling’	<i>“Connexus’ Chief Operating Officer assumes lead responsibility for its complaint handling”</i>
9.5	In addition to this a member of the governing body (or equivalent) must be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This person is referred to as the Member Responsible for Complaints (‘the MRC’).	Yes	Complaints policy - Section 4.3 ‘Roles and responsibilities for complaint handling’ Complaints policy - Section 5.6 ‘Measurement’	<i>“Connexus appoints a Member Responsible for Complaints (MRC) from the Board in accordance with the Housing Ombudsman Complaint Handling Code. The MRC supports a positive complaint handling culture by receiving regular information on complaint performance, complaint themes, Housing Ombudsman determinations and learning from</i>

				<i>complaints and provides constructive challenge. The MRC can then provide assurance to the Board regarding the effectiveness of Connexus complaint handling arrangements.”</i> <i>The Head of Customer Service and Engagement will provide a quarterly update to the lead Board member of any determinations and invite them to take part in any review of a complaint that resulted in a determination of severe maladministration”</i>
9.6	The MRC will be responsible for ensuring the governing body receives regular information on complaints that provides insight on the landlord’s complaint handling performance. This person must have access to suitable information and staff to perform this role and report on their findings.	Yes	Complaints policy - Section 5.6 ‘Measurement’	As above
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;	Yes	Complaints policy - Section 5.4 ‘Measurement’	In addition to the report referred to at section 5.4 of the policy, the Head of <i>Customer Service and Engagement</i> provides the Customer Committee with a quarterly ‘Customer Voice’ report,

	b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and d. annual complaints performance and service improvement report.			which includes complaint handling performance, metrics and learning.
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	Complaints policy - Section 4.3 'Roles and responsibilities for complaint handling'	<i>"We will have appropriate managers who will respond to complaints. They will:</i> <i>a) have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments</i> <i>b) take collective responsibility for any shortfalls identified through complaints, rather than blaming others</i> <i>c) act within the professional standards for engaging with complaints as set by any relevant professional body</i> <i>d) have the appropriate authority to offer suitable remedies to resolve a complaint"</i>