

## **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>	No	<p>Compliments, Comments, and Complaints Policy Version 2.1 - Section 3.0</p>	<p>Slight wording variation as it is a corporate policy not a housing policy</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	<p>Compliments, Comments, and Complaints Policy Version 2.1 - Section 7.0</p>	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Compliments, Comments, and Complaints Policy Version 2.1 - Section 8.0	Customer Services reach a decision on whether it is a service request or complaint
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	Compliments, Comments, and Complaints Policy Version 2.1 – Section 3.0	
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	Not contained within the policy	This is carried out by officers conducting tenant perception surveys

## 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	Compliments, Comments, and Complaints Policy Version 2.1 - Section 12.0	Makes reference to the Unreasonable, Persistent or Vexatious Complaint Policy Version 1.1
2.2	<p>A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> <li>• The issue giving rise to the complaint occurred over twelve months ago.</li> <li>• Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court.</li> <li>• Matters that have previously been considered under the complaints policy.</li> </ul>	Yes	Compliments, Comments, and Complaints Policy Version 2.1 - Section 4.0	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Compliments, Comments, and Complaints Policy Version 2.1 - Section 9.0	
2.4	If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman. If the Ombudsman does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.	Yes	Compliments, Comments, and Complaints Policy Version 2.1 - Section 8.0	Customer Services / Housing Manager provides an explanation to the resident as to why the matter is not suitable for the complaints process. Residents have the right to access the Housing Ombudsman Service, not only at the point they have exhausted the landlord's complaints process, but at any stage in the complaints process. The Housing Ombudsman dispute support advisors can offer residents support and advice at any point during the complaint process.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Compliments, Comments, and Complaints Policy Version 2.1 - Section 12.0	Unreasonable, Persistent or Vexatious Complaint Policy Version 1.1 – Section 4.0

### 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	Compliments, Comments, and Complaints Policy Version 2.1 - Section 6.0 and 14.0	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
3.2	Residents must be able to raise their complaints in any way and with any member of staff. All staff must be aware of the complaints process and be able to pass details of the complaint to the appropriate person within the landlord.	Yes	<p data-bbox="864 531 1749 600">Compliments, Comments, and Complaints Policy Version 2.1 - Section 1.0</p> <p data-bbox="1032 643 1581 676">Learning Pool Training Course Tracker</p>	<p data-bbox="1816 272 2002 306">Paragraph 3</p> <p data-bbox="1783 347 2036 927">The Council's HR Team ensure that all staff across the organisation complete complaints training, this includes both manual and office based staff, the only outstanding are new starters for the organisation - see column H for completion dates</p>



Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	<p data-bbox="864 448 1749 517">Compliments, Comments, and Complaints Policy Version 2.1 - Section 1.0</p> <p data-bbox="1099 560 1514 592">Complaints Bi-annual reports</p>	Paragraph 2

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	<p>Compliments, Comments, and Complaints Policy Version 2.1 - Section 9.0</p> <p><a href="https://www.oadby-wigston.gov.uk/pages/compliments_comments_and_complaints">https://www.oadby-wigston.gov.uk/pages/compliments_comments_and_complaints</a></p>	The policy is published on our website, there is also a dedicated webpage that explains how to make a complaint in simple language without having to read the policy, customers can complain in a variety of ways including in person at our reception our council offices
3.5	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.	No		Does not explain how we will publicise details of the complaint policy however it does reference information about the Ombudsman (not this code)

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Compliments, Comments, and Complaints Policy Version 2.1 - Section 7.0	Paragraph 3
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	Compliments, Comments, and Complaints Policy Version 2.1 - Section 8.0	External investigation – Housing Complaints

## Section 4: Complaint Handling Staff

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
4.1	Landlords must have a person or team assigned to take responsibility for complaint handling, including liaison with the Ombudsman and ensuring complaints are reported to the governing body (or equivalent). This Code will refer to that person or team as the 'complaints officer.' This role may be in addition to other duties.	Yes	Compliments, Comments, and Complaints Policy Version 2.1 - Section 8.0	External investigation – Housing 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	Compliments, Comments, and Complaints Policy Version 2.1 - Section 10.0	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
4.3	Landlords are expected to prioritise complaint handling and a culture of learning from complaints. All relevant staff must be suitably trained in the importance of complaint handling. It is important that complaints are seen as a core service and must be resourced to handle complaints effectively	Yes	<p data-bbox="1144 384 1583 491">Compliments, Comments, and Complaints Policy Version 2.1 - Section 1.0 and 2.0</p> <p data-bbox="1144 533 1583 600">Learning Pool Training Course Tracker</p>	<p data-bbox="1637 272 2022 710">All staff receive complaints overview training and staff that are responsible for handling/investigation complaints have additional training, see Learning Pool Tracker Column J to show completion rates the only manager that has not yet completed the course is a new starter to the organisation</p>

## 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	Compliments, Comments, and Complaints Policy Version 2.1	
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	Compliments, Comments, and Complaints Policy Version 2.1 – Section 9.0	We aim to resolve issues early, and have two stages within our complaint policy
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	Compliments, Comments, and Complaints Policy Version 2.1 – Section 9.0	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Compliments, Comments, and Complaints Policy Version 2.1 – Section 5.0	Complaints about our partners
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Compliments, Comments, and Complaints Policy Version 2.1 – Section 5.0 (see complaints about our contractors)	All complaints are fed through to contractors and third parties and they are required to respond to the Complaints in line with the Council's complaint procedure Where is this stated?
5.6	When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. The Code will refer to this as "the complaint definition." If any aspect of the complaint is unclear, the resident must be asked for clarification.	Yes	Compliments, Comments, and Complaints Policy Version 2.1 – Section 8.0	Following receipt of a Stage 1 complaint, the Team Manager makes contact with the complainant

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Compliments, Comments, and Complaints Policy Version 2.1 – Section 5.0	A complaint acknowledgment is always given, the first step is for the complaint handler to be clear which aspects they are and are not responsible for, they will seek clarification when needed and if the complaint is multi areas, this will be coordinated effectively – see unrelated and linked complaint section in our policy
5.8	At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> <li>a. deal with complaints on their merits, act independently, and have an open mind;</li> <li>b. give the resident a fair chance to set out their position;</li> <li>c. take measures to address any actual or perceived conflict of interest; and</li> <li>d. consider all relevant information and evidence carefully.</li> </ul>	Yes	Complaint response is challenged where appropriate against these principles before the complaint response is issued  Screenshot from Complaints Handling & Investigation Training	Our complaints handling & Investigation training ensure these principle are met (see screenshot)



Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Compliments, Comments, and Complaints Policy Version 2.1 – Section 9.0	Regular intervals are not stated but our complaints policy does state that:  If it is not possible to resolve a complaint within the stated timescales, the customer will be kept up to date with the progress of the complaint and informed when they should expect a response.
5.10	Landlord must make reasonable adjustments for residents where appropriate under the Equality Act 2010. Landlords must keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review.	Yes	Compliments, Comments, and Complaints Policy Version 2.1 – Section 14.0	Is this All complaints received will be dealt with in accordance with the requirements of the Equality Act 2010. We will, when necessary, adapt normal policies, procedures, or processes to accommodate any individual's needs such as providing documents in large print or Braille, arranging meetings in person, or undertaking home visits where appropriate.in the process?

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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. Landlord must clearly set out the reasons, and they must comply with the provisions set out in section 2 of this Code.	Yes		We do not refuse to escalate complaints through the stages, the reasons that landlord may do so is not currently outlined in the Council's complaint policy, but will be addressed in the policy review due in November 2024
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		Each complaint is recorded on the complaints register, given a reference number and the date it was received. An electronic file is then created to save all documentation include the original complaint and all correspondence with the complaint, correspondence with other parties, and any relevant supporting documentation
5.13	Landlords must have processes in place to ensure a complaint can be remedied at any stage of its complaints process. Landlord must ensure appropriate remedies can be provided at any stage of the complaints process without the need for escalation.	Yes		Complaints can be remedied at any stage, however this is not outlined in the Council's complaint policy, but will be addressed in the policy review due in November 2024

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Unreasonable, Persistent or Vexatious Complaint Policy Version 1.1	
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	Unreasonable, Persistent or Vexatious Complaint Policy Version 1.1 – Section 6.0	

## 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 an 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		The early resolution process here - shown in the flow chart on section 8 of the complaints policy, allows the housing manager to resolve a complaint by instigating action to be taken. This involves speaking to the customer to try and identify if this can be resolved early or if full investigation is needed? And in addition, for housing complaints a formal response is also given
6.2	Complaints must be acknowledged, defined, and logged at stage 1 of the complaints procedure <b><u>within five working days of the complaint being received.</u></b>	Yes	Compliments, Comments, and Complaints Policy Version 2.1 – Section 9.0	
6.3	Landlords must issue a full response to stage 1 complaints <b><u>within 10 working days</u></b> of the complaint being acknowledged.	Yes	Compliments, Comments, and Complaints Policy Version 2.1 – Section 9.0	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident.	Yes	Compliments, Comments, and Complaints Policy Version 2.1 – Section 9.0	Our policy states: If it is not possible to resolve a complaint within the stated timescales, the customer will be kept up to date with the progress of the complaint and informed when they should expect a response, we do not currently have a maximum of 10 working days outlined in the Council's complaint policy, but will be addressed in the policy review due in November 2024
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		All complaint correspondence from Housing will contain a reference signposting to the Housing Ombudsman
6.6	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes		

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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		
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, new issues are unrelated to the issues already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.	Yes		<p style="text-align: center;">This is happening in practice by the Housing team, but this is not outlined in the Council's complaint policy, but will be addressed in the policy review due in November 2024</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> <li>g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</li> </ul>	Yes	Compliments, Comments, and Complaints Policy Version 2.1 – Section 11.0	This is happening in practice, a short overview is provided in the policy, all response letters include the complaints stage, and detail on how to escalate the matter further

### 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	Compliments, Comments, and Complaints Policy Version 2.1 – Section 8.0	
6.11	Requests for stage 2 must be acknowledged, defined, and logged at stage 2 of the complaints procedure within five working days of the escalation request being received.	Yes	Compliments, Comments, and Complaints Policy Version 2.1 – Section 9.0	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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.	No		This is not outlined in the Council's complaint policy, but will be addresses in the policy review in November 2024
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Compliments, Comments, and Complaints Policy Version 2.1 – Section 11.0	Stage 2 complaint is passed to a Senior Manager
6.14	Landlords must issue a final response to the stage 2 <b><u>within 20 working days</u></b> of the complaint being acknowledged.	Yes	Compliments, Comments, and Complaints Policy Version 2.1 – Section 9.0	
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 not be more than 20 working days without good reason, and the reason(s) must be clearly explained to the resident.	No		Our policy states: If it is not possible to resolve a complaint within the stated timescales, the customer will be kept up to date with the progress of the complaint and informed when they should expect a response, we do not currently have a maximum of 20 working days outlined in the Council's complaint policy, but will be addressed in the policy review due in November 2024



Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.16	Landlords When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	No		This is not outlined in the Council's complaint policy, but will be addressed in the policy review due in November 2024
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.			This is happening in practice, but a procedure/process guidance is required to document this
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.			This is happening in practice, but a procedure/process guidance is required to document this

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.19	<p>Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:</p> <ul style="list-style-type: none"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> <li>g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.</li> </ul>	Yes	Compliments, Comments, and Complaints Policy Version 2.1 – Section 11.0	<p>This is happening in practice, a short overview is provided in the policy, all response letters include the complaints stage, and detail on how to escalate the matter further – contact details of ombudsman are included.</p>
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Compliments, Comments, and Complaints Policy Version 2.1 – Section 10.0 & 11.0	

## Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> <li>• Apologising;</li> <li>• Acknowledging where things have gone wrong;</li> <li>• Providing an explanation, assistance or reasons;</li> <li>• Taking action if there has been delay;</li> <li>• Reconsidering or changing a decision;</li> <li>• Amending a record or adding a correction or addendum;</li> <li>• Providing a financial remedy;</li> <li>• Changing policies, procedures or practices.</li> </ul>			<p>This is happening in practice, but a procedure/process guidance is required to document this</p>
7.2	<p>Any remedy offered must reflect the impact on the resident as a result of any fault identified.</p>			<p>This is happening in practice, but a procedure/process guidance is required to document this</p>
7.3	<p>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.</p>			<p>This is happening in practice, but a procedure/process guidance is required to document this</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.			This is happening in practice, but a procedure/process guidance is required to document this

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

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> <li>a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.</li> <li>b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept;</li> <li>c. any findings of non-compliance with this Code by the Ombudsman;</li> <li>d. the service improvements made as a result of the learning from complaints;</li> <li>e. any annual report about the landlord's performance from the Ombudsman; and</li> <li>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</li> </ul>	Yes	Bi-annual complaints reports	<p>We produce bi-annual complaints reports for scrutiny and challenge which is presented to Service Delivery Committee twice a year. This report covers Housing/landlord complaints and other corporate complaints</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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		Bi-annual complaints reports are published on our website as are all our committee reports. There is not a dedicated section on our complaint's webpage, but once Housing annual complaints performance and service improvement report is in place we will ensure the website includes all relevant information
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.			If there is a Housing Restructure, or significate change in procedure a new self-assessment would be completed
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.			

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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.			If we were unable to comply due to exceptional circumstance like a cyber incident, we would ensure that we 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

## 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.		<p>Extract from lessons learned Register</p> <p>Complaints response letter advising customer of learning/staff training</p>	<p>Complaint review meetings are held regularly and are chaired by our Chief Executive. Lessons learned are discussed and documented, we have attached an extract from the lesson's learned register. Please also see a response letter that demonstrate this</p>



Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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.			<p>All members of the housing team complete complaints training which helps to ensure a positive attitude to complaints.</p> <p>The Housing management team review complaints and where a complaint is team specific complaint responses are shared with officers.</p> <p>Housing use complaint data as a source of intelligence to create positive change – For example by changing or updating process and procedures.</p>
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.			<p>We report key learning to staff, tenants &amp; residents, members, relevant committees, and members of the Tenant &amp; Leaseholder Forum</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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.			
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').			The Policy, Performance and Transformation Manger is the MRC. They have the lead responsibility for complaints to support a positive complaint handling culture
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.		Bi-annual complaints report	The Policy, Performance and Transformation Manger produces our bi-annual reports and ensures both SLT and Members receive regular information on complaints that provides insight on complaint handling performance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
9.7	<p>As a minimum, the MRC and the governing body (or equivalent) must receive:</p> <ul style="list-style-type: none"> <li>a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;</li> <li>b. regular reviews of issues and trends arising from complaint handling;</li> <li>c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and</li> <li>d. annual complaints performance and service improvement report.</li> </ul>		Bi-annual complaints report	<p>The Policy, Performance and Transformation Manger receives updates on the volume, categories, and outcomes of complaints in regular complaints review meetings. They regularly review complaint handling performance, issues/ trends and review information/updates relating to the outcomes of any Ombudsman's investigations. Bi-annual complaints reports are produced</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
9.8	<p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <ul style="list-style-type: none"> <li>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</li> <li>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</li> <li>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</li> </ul>		<p>Compliments, Comments, and Complaints Policy Version 2.1 – Section 5.0</p>	<p>Details of how we collaborate to handle complaints can be found at section 5.0 – Type of Complaints section of our complaint policy</p>