

## Appendix A: Self-assessment form

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

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

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

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

## Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	<p>A complaint must be defined as:</p> <p><i>‘an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.’</i></p>	Yes	<p>Defined in the Customer Complaints and Feedback Policy, section 4.1</p> <p><a href="#">Customer complaints and feedback policy</a></p> <p>Also included in complaint response template letters</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>		<p>Included in the Customer Complaints and Feedback Policy, section 4.2, 4.5 and 4.8</p> <p><a href="#">Customer complaints and feedback policy</a></p>	<p>We recognise that complaints can be submitted in any format and do not need to include the word “complaint”.</p> <p>The policy clearly defines that third parties can submit a complaint on behalf of someone else, providing we have the persons consent.</p>

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	Included in the Customer Complaints and Feedback Policy, section 4.4 and 4.5 and staff complaints handling guidance  <a href="#">Customer complaints and feedback policy</a>	Training has been provided to staff on recognising the difference the two and if in doubt, staff are encouraged to seek clarification.
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	Included in the Customer Complaints and Feedback Policy, section 4.5 and staff complaints handling guidance  <a href="#">Customer complaints and feedback policy</a>	
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	A sentence has been added to our survey template to advise of this.  Included in Viewpoint and Star tenant satisfaction 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	Included in the Customer Complaints and Feedback Policy, sections 2.2, 4.6 and 4.7 and staff complaints handling guidance  <a href="#">Customer complaints and feedback policy</a>	The policy clearly defines when we will not accept a complaint and that each complaint will be considered on its own merit.
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: <ul style="list-style-type: none"> <li data-bbox="360 1086 927 1193">• The issue giving rise to the complaint occurred over twelve months ago.</li> <li data-bbox="360 1214 927 1319">• Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and</li> </ul>	Yes	Included in the Customer Complaints and Feedback Policy, sections 2.2 and 4.6 and staff complaints handling guidance  <a href="#">Customer complaints and feedback policy</a>	The policy clearly defines when we will not accept a complaint

	<p>Particulars of Claim, having been filed at court.</p> <ul style="list-style-type: none"> <li>• Matters that have previously been considered under the complaints policy.</li> </ul>			
2.3	<p>Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.</p>	Yes	<p>Included in the Customer Complaints and Feedback Policy, sections 2.2 and 5.1 and staff complaints handling guidance</p> <p><a href="#">Customer complaints and feedback policy</a></p>	<p>This is defined in the policy, and it states that we will use discretion to consider whether to accept a complaint out of this time limit.</p>
2.4	<p>If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman. If the Ombudsman does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.</p>	Yes	<p>Included in the Customer Complaints and Feedback Policy, sections 2.2 and 5.1 and staff complaints handling guidance</p> <p><a href="#">Customer complaints and feedback policy</a></p>	
2.5	<p>Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.</p>	Yes	<p>The policy requires all complaints to be dealt on their own individual merit.</p>	

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 are accepted through all channels and we will make reasonable adjustments for tenants to submit a complaint and how we respond to them.  Reasonable adjustment policy	
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.		Included in the Customer Complaints and Feedback Policy, section 3.3 and 4.8 and staff complaints handling guidance  <a href="#">Customer complaints and feedback policy</a>	We accept complaints through all contact channels
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	We welcome all feedback Complaint performance is provided to Policy and Performance Improvement Committee and Tenant Engagement Board	We welcome all feedback. We recognise the importance to identify issues in service delivery and welcome the opportunity to learn from them.

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.		<p>The policy is published on our website.</p> <p><a href="#">Customer complaints and feedback policy</a></p> <p>It is included in tenant newsletters and rent statements</p>	
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	<p>Defined in section 12 of the policy</p> <p><a href="#">Customer complaints and feedback policy</a></p>	
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	<p>Defined in section 4.8 and 5.2 of the policy</p> <p><a href="#">Customer complaints and feedback policy</a></p>	
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	<p>Published on our website and included in acknowledgment and response template letters</p> <p>Defined in section 7 of the policy</p> <p><a href="#">Customer complaints and feedback policy</a></p>	

			Promoted in tenant newsletters and rent statements	
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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	Business Manager Customer Services is responsible for complaint handling and is the link officer for the Ombudsman.  There is a single point of access for all complaints.	All complaints are managed through a CRM system called Meritec.  The customer service team leaders log the complaints and allocate them to the senior officer for action
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	The Complaints Officer has access to all staff and is able to remedy complaints.	
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	Yes	Complaint investigations staff recognise that the importance of investigating complaints promptly.	All complaint investigation officers have received staff training.



	importance of complaint handling. It is important that complaints are seen as a core service and must be resourced to handle complaints effectively		The CRM automatically produces reminders prior to the complaint due date	
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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	We have one policy	All complaints are dealt with on their individual merit.
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	We also aim for early and local resolution as it provides an effective and efficient outcome for the complainant	There are two stages in our Policy.  Officers are encouraged to liaise with complaints to support an early resolution
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	There are two stages in our policy  Defined in section 6 of the <a href="#">Customer complaints and feedback policy</a>	

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.	N/a	Our complaints are not handled by a third party	
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	N/a	Our complaints are not handled by a third party	
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	Defined in sections 6.2 and 6.3 of the policy  <a href="#">Customer complaints and feedback policy</a>	Staff investigating a complaint which comes under the jurisdiction of the Housing Ombudsman, contact the complainant at the acknowledgement stage.  Included in complaint template letters and staff guidance
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	Yes	Included in guidance and process documents	

	clarify any areas where this is not clear.			
5.8	<p>At each stage of the complaints process, complaint handlers must:</p> <ul style="list-style-type: none"> <li>a. deal with complaints on their merits, act independently, and have an open mind;</li> <li>b. give the resident a fair chance to set out their position;</li> <li>c. take measures to address any actual or perceived conflict of interest; and</li> <li>d. consider all relevant information and evidence carefully.</li> </ul>	Yes	All complaint investigation staff have received training on the complaints process in line with the policy	
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.		<p>Included in sections 6.2 and 6.3 of the policy</p> <p><a href="#">Customer complaints and feedback policy</a></p>	
5.10	Landlords must make reasonable adjustments for residents where appropriate under the Equality Act 2010. Landlords must keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review.	Yes	<p>Updated Reasonable Adjustments Policy.</p> <p><a href="#">Reasonable Adjustment Policy June 2024</a></p> <p>Agreed adjustments added to housing management system.</p>	

			Discussed and reviewed with tenants as part of getting to know you visits	
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	We would not refuse for a complaint to be escalated through its complaints procedure unless the complaint had been advised that there is a separate process for reporting it or a statutory right of appeal.	
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	These are kept within the central CRM system records kept within the Housing Management System.	Included in staff guidance, process and training
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	Our Policy allows for complaints to be dealt with and resolved at any time of the process	
5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives. Landlords	Yes	Managing Unacceptable Behaviour Policy	

	must be able to evidence reasons for putting any restrictions in place and must keep restrictions under regular review.		<a href="#">Managing Unreasonable Behaviour Policy</a>	
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	Covered in Managing Unacceptable Behaviour Policy  <a href="#">Managing Unreasonable Behaviour Policy</a>	

## 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	All investigating officers are trained to prioritise and respond to complaints within a timely manner	Staff guidance and processes
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	Included in section 6.2 of the Policy  <a href="#">Customer complaints and feedback policy</a>	All investigating officers are trained to respond to within this timescale.
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	Included in section 6.2 of the Policy  <a href="#">Customer complaints and feedback policy</a>	All investigating officers are trained to respond to within this timescale.
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the	Yes	Included in section 6.2 of the Policy	

	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.		<a href="#">Customer complaints and feedback policy</a>	
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	Included in section 6.2 of the policy  <a href="#">Customer complaints and feedback policy</a>	
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	Included in staff guidance and training	Investigating officers are trained to provide response in a timely manner when the response is known. The Council actively registers and monitors actions regarding complaints.
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	Included in staff guidance and training	
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	Yes	Included in staff guidance and training  Included in section 5.5 of the policy	

	issued. Where the stage 1 response has been issued, the new issues are unrelated to the issues already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.		<a href="#">Customer complaints and feedback policy</a>	
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	The response templates include these	

## 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	Included in sections 6.3 and 7.0 of the policy and staff guidance  <a href="#">Customer complaints and feedback policy</a>	



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	Included in section 6.2 of the policy and staff guidance  <a href="#">Customer complaints and feedback policy</a>	
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	Included in section 6.3 of the policy and staff guidance  <a href="#">Customer complaints and feedback policy</a>	
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Included in section 6.3 of the policy and staff guidance  <a href="#">Customer complaints and feedback policy</a>	
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	Included in section 6.3 of the policy and staff guidance  <a href="#">Customer complaints and feedback policy</a>	New policy is 20 working days
6.15	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 20 working days without good reason, and the reason(s) must be clearly explained to the resident.	Yes	Included in section 6.3 of the policy and staff guidance  <a href="#">Customer complaints and feedback policy</a>	Ours is within 10 working days

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	Included in section 7.0 of the policy and staff guidance  <a href="#">Customer complaints and feedback policy</a>	
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	Included in staff guidance and training	Investigating officers are trained to provide response in a timely manner when the response is known. The Council actively registers and monitors actions regarding complaints.
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	Included in staff guidance and training	
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and	Yes	Included in complaint response templates	

	g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.			
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	We have a two stage process	

### 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.</p> <p>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> </ul>	Yes	<p>This is covered in the response letter templates.</p> <p>We have a Compensation Policy for our tenants</p> <p>Covered in training for investigating officers</p>	

	<ul style="list-style-type: none"> <li>Changing policies, procedures or practices.</li> </ul>			
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	<p>This is covered in the response letter templates.</p> <p>We have a Compensation Policy for our tenants which is used to assist with providing a remedy</p>	
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	<p>This is covered in the response letter templates.</p> <p>We have a Compensation Policy for our tenants which is used to assist with providing a remedy</p>	
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	<p>This is covered in the response letter templates.</p> <p>We have a Compensation Policy for our tenants which is used to assist with providing a remedy.</p>	

## Section 8: Putting things right

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> <p>a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.</p> <p>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;</p> <p>c. any findings of non-compliance with this Code by the Ombudsman;</p> <p>d. the service improvements made as a result of the learning from complaints;</p> <p>e. any annual report about the landlord’s performance from the Ombudsman; and</p> <p>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</p>	No	<p>Quarterly Performance reports are reported to our Senior Leadership Team and the relevant committees together with a more in-depth complaints report half yearly.</p> <p>Our annual self-assessment against the Complaint Handling Code and the Annual Ombudsman review letters are reported to the following committees:</p> <ul style="list-style-type: none"> <li>• Policy and Performance Improvement Committee</li> <li>• Audit and Governance</li> <li>• Tenant Engagement Board</li> </ul> <p><a href="#">Customer Feedback report October 2023 - March 2024</a></p> <p>Housing Ombudsman Spotlight Reports shared with Tenant Engagement Board</p>	<p>Following a review of our self-assessment by the Housing Ombudsman, further work is required to meet this.</p> <p>The half yearly report for October 2023 – March 2024 has been through our committee process.</p> <p>An updated annual report will be created for 2023/24.</p> <p>As this will need to go through the committee process, due to the committee schedules, this will not be completed until end December 2024.</p> <p>The half yearly complaints reports for 2024/25 will include all of the required information.</p>

8.2	The annual complaints performance and service improvement report must be reported to the landlord's governing body (or equivalent) and published on the on the section of its website relating to complaints. The governing body's response to the report must be published alongside this.	No	<p>This will be reported and published annually</p> <p><a href="#">Customer Feedback report October 2023 - March 2024</a></p>	<p>The half yearly report for October 2023 – March 2024 has now completed the committee process.</p> <p>The final approval was the Audit and Governance Committee hold 31 July 2024.</p> <p>Following the minutes being approved at the next meeting on 25 September 2024, this will be published on the Complaints section of our website together with a link to the approved minutes.</p> <p>Completion date 31 October 2024</p>
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	<p>This will be carried out by the designated Complaints Manager (Business Manager Customer Services) and the Housing Regulatory Compliance Manager</p> <p>The self-assessment will be reviewed annually</p>	

8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	This would happen	
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	<p>This would happen if an incident took place.</p> <p>This would be carried out by the designated Complaints Manager and Housing Regulatory Compliance Manager</p>	

## 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	Covered in training and staff guidance	
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	Business Managers review all customer feedback mess	
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	Quarterly Performance reports are reported to our Senior Leadership Team and the relevant committees together with a more in-depth complaints report half yearly.  Complaints data is discussed at the Housing Directorate Monthly meetings	
9.4	Landlords must appoint a suitably senior lead person as accountable for	Yes	The Director of Customer Services & Org Development has	The designated Complaints Manager and Housing



	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.		the overall responsibility for Complaints	Regulatory Compliance Manager will provide the member with the background information
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	The lead member for complaints is the Chair of the Policy and Performance Improvement Committee  The Portfolio Holder for Housing is kept informed.	Designated Complaints Manager and Housing Regulatory Compliance Manager will provide the member with the background information
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	Quarterly Performance reports are reported to our Senior Leadership Team and these committees together with a more in-depth complaints report half yearly.  <ul style="list-style-type: none"> <li>• Policy and Performance Improvement Committee</li> <li>• Audit and Governance</li> <li>• Tenant Engagement Board</li> </ul> Housing Ombudsman Spotlight Reports shared with Tenant Engagement Board	The MRC, the chair of Policy and Performance Committee Portfolio Holder for Resources is responsible for complaints and reporting to Cabin

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>		<p>Quarterly Performance reports are reported to our Senior Leadership Team and the relevant committees together with a more in-depth complaints report half yearly.</p> <p>Our annual self-assessment against the Complaint Handling Code and the Annual Ombudsman review letters are reported to the following committees:</p> <ul style="list-style-type: none"> <li>• Policy and Performance Improvement Committee</li> <li>• Audit and Governance</li> <li>• Tenant Engagement Board</li> </ul> <p>Results of Ombudsman investigations with the above committees</p>	
9.8	<p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <ul style="list-style-type: none"> <li>a. have a collaborative and co-operative approach towards resolving</li> </ul>	Yes		

	<p>complaints, working with colleagues across teams and departments;</p> <p>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</p> <p>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</p>			
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