

Appendix B – Self-Assessment Form

This self-assessment form should be completed by the complaints officer and discussed at the landlord's governing body annually.

Evidence should be included to support all statements with additional commentary as necessary.

Explanations must also be provided where a mandatory 'must' requirement is not met to set out the rationale for the alternative approach adopted and why this delivers a better outcome.

Section 1 - Definition of a complaint

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
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 organisation, its own staff, or those acting on its behalf, affecting an individual resident or group of residents.'</i></p>	Yes	<p>Our policy states. Our definition of a formal complaint is "an expression of dissatisfaction, where you feel we have got something wrong, such as; the standard of service, or the way a decision has been made, behaviours or actions or lack of action about the Council's provision of a service for which it has responsibility".</p> <p>Corporate Complaints Policy for Adults' Services, Children's Services and Formal Corporate Complaints May 2020 (lbhf.gov.uk)</p> <p>Policy has been amended to include exact wording</p>
1.3	<p>The resident does not have to use the word 'complaint' for it to be treated as such. A complaint that is submitted via a third party or representative must still be handled in line with the landlord's complaints policy.</p>	Yes	<p>We accept a complaint as a formal complaint even if the word complaint is not used. We accept complaints via all channels including verbally on a call, face to face, by email and in any written communication. A complaint could be identified by triaging a service request. We accept complaints from a third party and record this within the complaints handling system.</p>
1.6	<p>... if further enquiries are needed to resolve the matter, or if the resident requests it, the issue must be logged as a complaint.</p>	Yes	<p>Any officer or staff member can and will make further enquiries on behalf of a customer or resident. The issues are logged via the Resident Experience Team on the case management system.</p>
1.7	<p>A landlord must accept a complaint unless there is a valid reason not to do so.</p>	Yes	<p>The refusal of a complaint is an exception and reasons are always given and will be those referred to in the policy.</p>

1.8	A complaints policy must clearly set out the circumstances in which a matter will not be considered, and these circumstances should be fair and reasonable to residents.	Yes	The complaint policy is published on the website, this can be sent in a PDF format, printed and sent to a customer or resident copies can be provided by any member of staff. The complaints policy clearly sets out what matters are considered through the complaints policy.
1.9	If a landlord decides not to accept a complaint, a detailed 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.	Yes	The landlord will notify a complainant on receipt of a complaint request, when triaged at the first point of contact. However, the complaint is also triaged by the officer the complaint is assigned to, to investigate and the complainant will be notified of the acceptance or not at that point and given the reason why, if the complaint is not accepted.

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
1.4	Landlords should recognise the difference between a service request , where a resident may be unhappy with a situation that they wish to have rectified, and a complaint about the service they have/have not received.	Yes	Resident Experience Team do first level of triage. Service area also review and change to service request if appropriate. These are still logged through the case management system as comments or feedback to ensure an audit trail. This is covered in staff training and all processes relating to service requests include details on how to complain.
1.5	Survey feedback may not necessarily need to be treated as a complaint, though, where possible, the person completing the survey should be made aware of how they can pursue their dissatisfaction as a complaint if they wish to.	Yes	If a comment in a survey constituted a complaint, we would refer the resident to the complaints process or the relevant process.

Section 2 - Accessibility and awareness

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
2.1	Landlords must make it easy for residents to complain by providing different channels through which residents can make a complaint such as in person, over the telephone, in writing, by email and digitally. While the Ombudsman recognises that it may not be feasible for a landlord to use all of the potential channels, there must be more than one route of access into the complaints system.	Yes	Residents can complain via a number of channels; Email, online – self-service, telephone, writing, face to face. Any officer in the organisation will accept a complaint -not necessarily service specific. If raised through social media, it is referred to the relevant service to follow up.
2.3	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the number of stages involved, what will happen at each stage and the timeframes for responding.	Yes	Published online and can be provided in other formats on request such as hard copy. Action – In order to enhance accessibility further we are looking at BSL format and how to implement in other formats to support residents with additional needs.
2.4	Landlord websites, if they exist, must include information on how to raise a complaint. The complaints policy and process must be easy to find on the website.	Yes	The website has a dedicated page on complaints and compliments Complaints and compliments LBHF There is a link to this page on the Home page.
2.5	Landlords must comply with the Equality Act 2010 and may need to adapt normal policies, procedures, or processes to accommodate an individual's needs. Landlords must satisfy themselves that their policy sets out how they will respond to reasonable adjustments requests in line with the Equality Act and that complaints handlers have had appropriate training to deal with such requests.	Yes	We ask about specific needs on self-service request. Contact centres fill out self-service form and take that information. Alerts on each account. Considering more accessible formats for the policy. Home visits available through Tenancy Management where specific needs are identified and registered. We have processes in place with contractors to alert us to any additional needs identified. Safeguarding processes are followed as appropriate and Resident Experience Team liaise with relevant departments such as Adult Social Care and Children's services.

2.6	Landlords must publicise the complaints policy and process, the Complaint Handling Code and the Housing Ombudsman Scheme in leaflets, posters, newsletters, online and as part of regular correspondence with residents.	Yes	Housing Ombudsman Scheme is promoted in all relevant publicity material. Action Consider further opportunities
2.7	Landlords must provide residents with contact information for the Ombudsman as part of its regular correspondence with residents.	Partly	Contact information is provided in information in relation to complaints. Action To consider this is provided in other more general Housing correspondence
2.8	Landlords must provide early advice to residents regarding their right to access the Housing Ombudsman Service throughout their complaint, not only when the landlord's complaints process is exhausted.	Yes	Details of Ombudsman Service are included in complaints correspondence. Staff are instructed to include this in interim correspondence for example when contacting residents to advise on extended timescale for their complaint. We have recently amended our complaint acknowledgement to include this detail at the earliest possible point in the process. Action Link to Ombudsman website to be included on Repairs web page.

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary, and any explanations
2.2	Where a landlord has set up channels to communicate with its residents via social media, then it should expect to receive complaints via those channels. Policies should contain details of the steps that will be taken when a complaint is received via social media and how confidentiality and privacy will be maintained.	Yes	We do not promote social media as an effective mechanism to log complaints However, we do get comments on social media that could be defined as complaints. In the event that this happens the relevant details are passed to the service who will contact the resident directly to follow up. We do not engage in relation to specific cases via social media. Action Consider referring to this in complaints policy – Action complete included in complaints policy

Section 3 - Complaint handling personnel
Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
3.1	Landlords must have a person or team assigned to take responsibility for complaint handling to ensure complaints receive the necessary attention, and that these are reported to the governing body. This Code will refer to that person or team as the "complaints officer".	Yes	We have a central team Resident Experience Team that is responsible for complaints coordination and reporting across the whole Council in addition to officers within services that also work on complaints at different stages.
3.2	...the complaint handler appointed must have appropriate complaint handling skills and no conflicts of interest.	Yes	Having an independent team overseeing complaints supports impartiality. All officers in complaints team receive relevant training and complete the Housing Ombudsman online training. We held a session at a recent Manager's Forum promoting this training so that managers across the Council can encourage their officers to attend in addition to dedicated complaints handling staff.

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
3.3	Complaint handlers should: <ul style="list-style-type: none"> • be able to act sensitively and fairly • be trained to handle complaints and deal with distressed and upset residents • have access to staff at all levels to facilitate quick resolution of complaints • have the authority and autonomy to act to resolve disputes quickly and fairly. 	Yes	All staff handling complaints receive relevant training. In addition, we have recently introduced a quality assurance module within our case management system which we will be rolling out across the Council, and this will give us an opportunity to further develop our officers' skills and identify relevant training needs. We have escalation processes in place and officers dealing with complaints are able to offer compensation.

Section 4 - Complaint handling principles
Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
4.1	<p>Any decision to try and resolve a concern must be taken in agreement with the resident and a landlord's audit trail/records should be able to demonstrate this. Landlords must ensure that efforts to resolve a resident's concerns do not obstruct access to the complaints procedure or result in any unreasonable delay. It is not appropriate to have extra named stages (such as 'stage 0' or 'pre-complaint stage') as this causes unnecessary confusion for residents. When a complaint is made, it must be acknowledged and logged at stage one of the complaints procedure within five days of receipt.</p>	Yes	<p>All correspondence about the complaint is recorded on our case management system and so we have an audit trail of all discussions with the resident to resolve the complaint. About complaints in relation to Repairs, which is where our highest volumes are, the team contact all complainants by phone on receipt of complaints to discuss the complaint and check understanding of what is required to resolve. Our target for logging and acknowledging complaints is within 2 working days of receipt and we do not have any preliminary stages within the process.</p>

4.2	Within the complaint acknowledgement, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. If any aspect of the complaint is unclear, the resident must be asked for clarification and the full definition agreed between both parties.	Yes	Currently the acknowledgement we send on receipt of the complaint does not include a summary of that complaint. However, in most cases the officer dealing with the complaint will contact the resident on the receipt of the complaint to check understanding. Action To explore if ICasework can include a summary of the complaint in the acknowledgement - action complete as this is now being added manually
4.6	A complaint investigation must be conducted in an impartial manner.	Yes	Most of our complaints in relation to Housing are dealt with by independent teams that are separate from the operational side. For example, we have a dedicated resolution team in our Repairs service who deal with stage one complaints and stage two complains are dealt with by the Resident Experience Team. The Resident Experience Team is an independent team and oversees complaint handling across the Council.
4.7	The complaint handler must: <ul style="list-style-type: none"> • deal with complaints on their merits • act independently and have an open mind • take measures to address any actual or perceived conflict of interest • consider all information and evidence carefully • keep the complaint confidential as far as possible, with information only disclosed if necessary to properly investigate the matter. 	Yes	This is covered in training with officers and will be reinforced in our quality assurance work. All information and evidence is logged in our case management system and the structure of that system maintains confidentiality and security as access is managed so that users are not able to view cases that are not linked to them.
4.11	Landlords must adhere to any reasonable arrangements agreed with residents in terms of frequency and method of communication	Yes	We work with residents to agree feedback mechanism and frequency on receipt of the case. We are aware that this is an area where we have failed in the past and so this an area of key focus for us.

<p>4.12</p>	<p>The resident, and if applicable any staff member who is the subject of the complaint, must also be given a fair chance to:</p> <ul style="list-style-type: none"> • set out their position • comment on any adverse findings before a final decision is made. 	<p>Yes</p>	<p>As mentioned above ongoing liaison with the resident throughout the complaint is a key focus for improvement for us and we record details of this in our case management system. The same applies to liaison with staff involved. This gives the opportunity for comment throughout the process. In addition, we have recently amended our complaint response templates so that we give the opportunity for the resident to come back to the complaint handler if they feel that anything has been missed or is inaccurate without needing to escalate to the next stage.</p>
<p>4.13</p>	<p>A landlord must include in its complaints policy its timescales for a resident to request escalation of a complaint</p>	<p>Yes</p>	<p>Yes, 20 working days. Complaints are accepted outside of that in exceptional circumstances.</p>
<p>4.14</p>	<p>A landlord must not unreasonably refuse to escalate a complaint through all stages of the complaints procedure and must have clear and valid reasons for taking that course of action. Reasons for declining to escalate a complaint must be clearly set out in a landlord's complaints policy and must be the same as the reasons for not accepting a complaint.</p>	<p>Yes</p>	<p>Very few are refused. Most Repairs ones are reviewed at a senior level currently and so any decisions to refuse are made at a senior level. We only refuse if there would be no benefit to the resident in accepting and we give reasons for any refusal.</p>

4.15	A full record must be kept of the complaint, any review 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 reports or surveys prepared.	Yes	All information relating to the complaint is kept in our case management system.
4.18	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives when pursuing a complaint.	Yes	This policy is in place and published on our website. Hammersmith & Fulham Council Unreasonable or Vexatious Behaviour Policy April 2020 (lbhf.gov.uk)

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
4.3	Landlords should manage residents' expectations from the outset, being clear where a desired outcome is unreasonable or unrealistic	Yes	This would be addressed in the triage process and also acknowledged in complaint responses.
4.4	A complaint should be resolved at the earliest possible opportunity, having assessed what evidence is needed to fully consider the issues, what outcome would resolve the matter for the resident and whether there are any urgent actions required.	Partly	This is an area of focus for us and an area where we are delivering improvements. We aim to resolve the complaint at the earliest opportunity, and we have increased the number of complaints resolved at stage one and not escalating to stage two. We have experienced delays in response times in the past particularly regarding Repairs complaints and we are working to address that and improving. We do have some complaints that take a long time to deliver full resolution due to the complexity of work involved but we are now closing these with an agreed schedule of work and monitoring this for delivery. Ongoing improvement on timeliness
4.5	Landlords should give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any	Yes	Opportunity available if consent confirmed

	meeting with the landlord where this is reasonable.		
4.8	Where a key issue of a complaint relates to the parties' legal obligations landlords should clearly set out their understanding of the obligations of both parties.	Yes	Covered and we involve Legal in relevant responses.
4.9	Communication with the resident should not generally identify individual members of staff or contractors.	Yes	Action Need to address this in training where appropriate. Have addressed in training and will monitor for full compliance
4.10	Landlords should keep residents regularly updated about the progress of the investigation.	Partly	This is an area we are developing further as we know there have been incidents where this has not been done appropriately. Revisited in training and QA. Need to do more on holding responses
4.16	Landlords should seek feedback from residents in relation to the landlord's complaint handling as part of the drive to encourage a positive complaint and learning culture.	No	Survey is available on the system but not currently in operation and being reviewed. Action To develop and introduce the feedback survey
4.17	Landlords should recognise the impact that being complained about can have on future service delivery. Landlords should ensure that staff are supported and engaged in the complaints process, including the learning that can be gained	Yes	The Council recognise the impact of complaints and addresses this in training with staff. Staff are supported in their health and wellbeing (Employee Assistance Programmes). Learning from complaints is covered in one to ones. Training and support with safeguarding issues etc.
4.19	Any restrictions placed on a resident's contact due to unacceptable behaviour should be appropriate to their needs and should demonstrate regard for the provisions of the Equality Act 2010.	Yes	We have a comprehensive policy in place as referred to in 4.18. Restrictions are time limited regularly reviewed.

Section 5 - Complaint stages
Mandatory 'must' requirements
Stage 1

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.1	Landlords must respond to the complaint <u>within 10 working days</u> of the complaint being logged. Exceptionally, landlords may provide an explanation to the resident containing a clear timeframe for when the response will be received. This should not exceed a further 10 days without good reason.	Partly	Currently our policy is that all corporate complaints are responded to within 15 days. However, Housing Repairs where most complaints relate to, work to the Ombudsman complaint code, and aim to respond within 10 days. Complaints in respect of other areas of Housing are informed at the point of receipt that the complaint will be responded to within 15 days. We have experienced delays in responding on time and this is an area of focus for us.
5.5	A complaint response must be sent 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 expeditiously with regular updates provided to the resident.	Yes	Complaints are closed when appointments are made for Repairs for example and these are tracked, traced, and managed to resolution.
5.6	Landlords must address all points raised in the complaint and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	This is done and we will be monitoring this and measuring performance using our quality assurance module. Complaints are reviewed before issuing to ensure they meet these standards
5.8	Landlords must confirm the following in writing to the resident at the completion of stage one in clear, plain language: <ul style="list-style-type: none"> • the complaint stage • the decision on the complaint • the reasons for any decisions made • the details of any remedy offered to put things right - details of any outstanding actions 	Yes	We have templates within our case management system which ensure these areas are covered.

Stage 2

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.9	If all or part of the complaint is not resolved to the resident's satisfaction at stage one it must be progressed to stage two of the landlord's procedure, unless an exclusion ground now applies. In instances where a landlord declines to escalate a complaint it must clearly communicate in writing its reasons for not escalating as well as the resident's right to approach the Ombudsman about its decision.	Yes	<p>We clearly communicate the reasons that the exclusion ground applies when we decline to escalate the complaint. There are very few that are excluded. We do not currently include the Ombudsman details in the refusal.</p> <p>Action To advise all staff refusing complaints to include the Ombudsman details and the right to approach the Ombudsman about this decision. Action complete – Staff have been informed of this and compliance will be monitored.</p>
5.10	On receipt of the escalation request, landlords must set out their understanding of issues outstanding and the outcomes the resident is seeking. If any aspect of the complaint is unclear, the resident must be asked for clarification and the full definition agreed between both parties.	Yes	<p>Currently the acknowledgement we send on receipt of the complaint does not include a summary of that complaint. However, in most cases the officer dealing with the complaint will contact the resident on the receipt of the complaint to check understanding.</p> <p>Action To explore if ICasework can include a summary of the complaint in the acknowledgement – Action complete as this is now being completed manually</p>
5.11	Landlords must only escalate a complaint to stage two once it has completed stage one and at the request of the resident.	Yes	Complaints are not escalated until stage one complete

5.12	The person considering the complaint at stage two, must not be the same person that considered the complaint at stage one.	Yes	Most stage twos are dealt with by the independent Resident Experience Team
5.13	Landlords must respond to the stage two complaint within 20 working days of the complaint being escalated. Exceptionally, landlords may provide an explanation to the resident containing a clear timeframe for when the response will be received. This should not exceed a further 10 days without good reason.	Partly	Our policy is to respond within 20 working days. We have experienced some delays and so this is an area of focus for us.
5.16	Landlords must confirm the following in writing to the resident at the completion of stage two in clear, plain language: <ul style="list-style-type: none"> • the complaint stage • the complaint definition • the decision on the complaint • the reasons for any decisions made • the details of any remedy offered to put things right • details of any outstanding actions and <ul style="list-style-type: none"> • if the landlord has a third stage, details of how to escalate the matter to stage three • if this was the final stage, details of how to escalate the matter to the Housing Ombudsman Service if the resident remains dissatisfied. 	Yes	All of this is included in our stage two responses. To ensure that this is the case we have templates set up in our case management system which prompt officers to cover all of this information.

Stage 3

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.17	Two stage landlord complaint procedures are ideal. This ensures that the complaint process is not unduly long. If landlords strongly believe a third stage is necessary, they must set out their reasons for this as part of their self-assessment. A process with more than three stages is not acceptable under any circumstances.	Yes	Our policy contains only two stages.

5.20	<p>Landlords must confirm the following in writing to the resident at the completion of stage three in clear, plain language:</p> <ul style="list-style-type: none"> • the complaint stage • the complaint definition • the decision on the complaint • the reasons for any decisions made • the details of any remedy offered to put things right • details of any outstanding actions • details of how to escalate the matter to the Housing Ombudsman Service if the resident remains dissatisfied 	Yes	Our policy contains only two stages.
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Best practice 'should' requirements

Stage 1

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.2	If an extension beyond 20 working days is required to enable the landlord to respond to the complaint fully, this should be agreed by both parties.	Yes	<p>We have included this in all recent staff training, but this is not happening in all cases currently and is developing.</p> <p>Action To ensure that we are agreeing extensions with residents – Action complete and compliance to be monitored</p>
5.3	Where agreement over an extension period cannot be reached, landlords should provide the Housing Ombudsman's contact details so the resident can challenge the landlord's plan for responding and/or the proposed timeliness of a landlord's response.	No	This is something we are putting in place as part of our processes.
5.4	Where the problem is a recurring issue, the landlord should consider any older reports as part of the background to the complaint if this will help to resolve the issue for the resident.	Yes	We review all the history for the resident, and this is considered in all complaints
5.7	Where residents raise additional complaints during the investigation, these should be incorporated into the stage one response if they are relevant and the stage one response has not been issued. Where the stage one response has been issued, or it would unreasonably delay the response, the complaint should be logged as a new complaint	Yes	We will consider the whole position and incorporate responses to other complaints where it is appropriate to do so.

Stage 2

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.14	If an extension beyond 10 working days is required to enable the landlord to respond to the complaint fully, this should be agreed by both parties.	Yes	We have included this in all recent staff training, but this is not happening in all cases currently and is developing. Action To ensure that we are agreeing extensions with residents – Action complete and compliance to be monitored
5.15	Where agreement over an extension period cannot be reached, landlords should provide the Housing Ombudsman's contact details so the resident can challenge the landlord's plan for responding and/or the proposed timeliness of a landlord's response	No	This is something we are putting in place as part of our processes.

Stage 3

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.18	Complaints should only go to a third stage if the resident has actively requested a third stage review of their complaint. Where a third stage is in place and has been requested, landlords must respond to the stage three complaint <u>within 20 working days</u> of the complaint being escalated. Additional time will only be justified if related to convening a panel. An explanation and a date for when the stage three response will be received should be provided to the resident.	Yes	We do not have a stage three within our policy
5.19	Where agreement over an extension period cannot be reached, landlords should provide the Housing Ombudsman's contact details so the resident can challenge the landlord's plan for responding and/or the proposed timeliness of a landlord's response.	Yes	We do not have a stage three within our policy

Section 6 - Putting things right Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
6.1	Effective dispute resolution requires a process designed to resolve complaints. 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.	Yes	Templates set up to follow this format
6.2	Any remedy offered must reflect the extent of any service failures and the level of detriment caused to the resident as a result. A landlord must carefully manage the expectations of residents and not promise anything that cannot be delivered or would cause unfairness to other residents.	Yes	Cover this in training. We have guidelines in place on compensation and follow Ombudsman recommendations. We also use responsibilities under the tenancy agreement as a guide.
6.5	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	In most cases complaints are in respect of repairs and our responses will include appointments or in some cases a schedule of works which will give details of timescales. These are followed through to completion. Timescales in compensation. Action to ensure timescales are in place for all remedies as part of QA
6.6	In awarding compensation, a landlord must consider whether any statutory payments are due, if any quantifiable losses have been incurred, the time and trouble a resident has been put to as well as any distress and inconvenience caused.	Yes	Included in our compensation policy and follow Ombudsman guidelines on compensation

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
6.3	Landlords should look beyond the circumstances of the individual complaint and consider whether anything needs to be 'put right' in terms of process or systems to the benefit of all residents.	Yes	We are developing and building on our learning from complaints and have made several recent changes. Where a complaint highlights an issue that is relevant to other residents for example in the same block of flats we are taking action to address.
6.7	In some cases, a resident may have a legal entitlement to redress. The landlord should still offer a resolution where possible, obtaining legal advice as to how any offer of resolution should be worded.	Partly	Work closely with our Legal and Insurance Team and follow their advice. Action – We need to develop our processes further where a complaint is received in respect of a disrepair case.

Section 7 - Continuous learning and improvement

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
7.2	Accountability and transparency are integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints in their annual report and more frequently to their residents, staff and scrutiny panels.	Yes	<p>We formally report on complaint performance including Ombudsman cases quarterly to our Strategic Leadership Team (SLT) and to Members and include information on learning. Reports to members are published on our website.</p> <p>We have recently introduced an Ombudsman Board which is a cross council board where we review cases and identify learning form these and share this with all departments.</p> <p>Resident panels receive updates on complaints</p> <p>We report on our annual report to SLT and to Audit Committee and this will be published. We will publish a report for residents at the end of the financial year in respect of our complaints during this year.</p>

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
7.3	A member of the governing body should be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This role will be responsible for ensuring the governing body receives regular information on complaints that provides insight to the governing body on the landlord's complaint handling performance.	Yes	We have a member of our Strategic Leadership Team who is responsible for complaints and complaint reporting and a Lead Cabinet Member with this included in their portfolio.
	<p>As a minimum, governing bodies should receive:</p> <ul style="list-style-type: none"> Regular updates on the volume, categories and outcome of complaints, alongside complaint handling performance including compliance with the Ombudsman's orders 	Yes	We formally report on complaint performance including Ombudsman cases quarterly to our Strategic Leadership Team (SLT) and to Members and include

7.4	<ul style="list-style-type: none"> Regular reviews of issues and trends arising from complaint handling, The annual performance report produced by the Ombudsman, where applicable Individual complaint outcomes where necessary, including where the Ombudsman made findings of severe maladministration or referrals to regulatory bodies. The implementation of management responses should be tracked to ensure they are delivered to agreed timescales. The annual self-assessment against the Complaint Handling Code for scrutiny and challenge. 		<p>information on learning. Reports to members are published on our website.</p> <p>The annual performance report from the Ombudsman is reported.</p> <p>We have not reported on individual cases previously but have carried out a senior management review in respect of one case which will be reported to SLT.</p> <p>This self-assessment will be reported to SLT and to members</p>
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7.5	Any themes or trends should be assessed by senior management to identify potential systemic issues, serious risks or policies and procedures that require revision. They should also be used to inform staff and contractor training.	Yes	This has been the case and there are examples of this in Repairs particularly.
7.6	<p>Landlords should have a standard objective in relation to complaint handling for all employees that reflects the need to:</p> <ul style="list-style-type: none"> have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments take collective responsibility for any shortfalls identified through complaints rather than blaming others act within the Professional Standards for engaging with complaints as set by the Chartered Institute of Housing. 	Yes	Consider including in JD And Perf appraisals

Section 8 - Self-assessment and compliance

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
8.1	Landlords must carry out an annual self-assessment against the Code to ensure their complaint handling remains in line with its requirements.	Yes	Self-assessment completed
8.2	Landlords must also carry out a self-assessment following a significant restructure and/or change in procedures.	Yes	This will be the case in future. This self assessment has been revised in December 22

<p>8.3</p>	<p>Following each self-assessment, a landlord must:</p> <ul style="list-style-type: none"> • report the outcome of their self-assessment to their governing body. In the case of local authorities, self-assessment outcomes should be reported to elected members • publish the outcome of their assessment on their website if they have one, or otherwise make accessible to residents • include the self-assessment in their annual report section on complaints handling performance 	<p>Yes</p>	<p>This self-assessment will be reported to SLT and on to members as part of the annual report on Housing Ombudsman performance.</p> <p>This will be published on our website.</p>
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Completed 30 September 2022 Revised 28 December 2022