

## Appendix B – Self-Assessment Form

### Section 1 - Definition of a complaint Mandatory

#### 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
1.2	A complaint must be defined as: <i>'an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the organisation, its own staff, or those acting on its behalf, affecting an individual resident or group of residents'.</i>	Y	The Council's <a href="#">Corporate Complaints Procedure</a> , at page 3, paragraph 3.1 includes the following definition:  <i>"an expression of dissatisfaction about the conduct, standard of service, actions or lack of action by the New Forest District Council or its staff, or those acting on its behalf"</i>  This is slightly different to that suggested by the Code but meets the spirit of the definition. The Council will accept complaints about those acting on its behalf and accepts complaints in many forms.
1.3	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.	Y	Staff are aware of recognising complaints where the word ' <i>complaint</i> ' is not used. The Council does allow complaints submitted by a third party. However, appropriate authority is sought where a third party or representative submits a complaint on someone's behalf. (page 5, paragraph 5.2 of the <a href="#">Corporate Complaints Procedure</a> )
1.6	... if further enquiries are needed to resolve the matter, or if the resident requests it, the issue must be logged as a complaint.	Y	The Council's <a href="#">Corporate Complaints Procedure</a> , sets out what is not a corporate complaint at page 3, paragraph 4
1.7	A landlord must accept a complaint unless there is a valid reason not to do so.	Y	All complaints are accepted, subject to very limited exceptions. See S 1.8 below

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.	Y	<p>The circumstances where a complaint will not be considered is included in the Council's <a href="#">Corporate Complaints Procedure</a>, at page 3, paragraph 4:</p> <ul style="list-style-type: none"> <li>• <i>Complaints against an elected councillor</i></li> <li>• <i>“Anonymous complaints</i></li> <li>• <i>Cases where other legal rights of appeal exist (e.g. against refusal of planning permission or housing benefit assessment)</i></li> <li>• <i>Routine requests for service (e.g. noisy neighbours, barking dogs), unless such a request has been dealt with improperly or with undue delay</i></li> <li>• <i>Minor day-to-day concerns which amount to service enquiries</i></li> <li>• <i>Cases where the Council or complainant has started legal proceedings or has taken court action. Or for example, when a debt is owing to the Council.”</i></li> <li>• <i>When a complaint is over 12 months old</i></li> <li>• <i>Complaints which have already exhausted the procedure</i></li> </ul>
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.	Y	Where a complaint is not accepted, the complainant is informed of their right to refer that decision and their complaint to the Ombudsman.

### 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 <b>service request</b> , where a resident may be unhappy with a <b>situation</b> that they wish to have rectified, and a <b>complaint</b> about the <b>service</b> they have/have not received.	Y	<p>The Council's <a href="#">Corporate Complaints Procedure</a>, at page 4, paragraph 4.2</p> <p>Explains that requests can be for a service (unless such requests have been dealt with improperly or with undue delay). Some examples are:</p> <p><i>Report of a missed bin collection, missed appointment for a repair, and 'business as usual complaints'</i></p> <p>Complaints are assessed by the Information Governance and Complaints Team prior to allocation.</p>
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.	N	Surveys are routinely sent to tenants following repair requests and following tenants moving into a new property. Where these survey results show that there is dissatisfaction with services received, these are reported to Service Managers for Housing to assist with identifying lessons learned and improvements that can be made.

## 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.	Y	The Council's <a href="#">Corporate Complaints Procedure</a> , at page 5, paragraph 6, states that complainants can contact the Council in a number of ways, including by email, via the website, telephone or in writing.
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.	Y	The Council's <a href="#">Corporate Complaints Procedure</a> is available on the Council's website under the <a href="#">Feedback, comments and complaints</a> page.  The Procedure sets out at page 6 and 8, the stages and timescales involved.
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.	Y	The Council's <a href="#">Corporate Complaints Procedure</a> is available on the Council's website under the <a href="#">Feedback, comments and complaints</a> page.  This can also be searched for using the search bar on the Council's <a href="#">homepage</a> .
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.	Y	The Council's <a href="#">Corporate Complaints Procedure</a> , at page 6, explains what help can be provided to use the procedure.  The Council, as a public authority, will make reasonable adjustments where required to do so. All staff receive equalities training.

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.	Y	<p>The Council's <a href="#">Corporate Complaints Procedure</a> is published on the Council's website. This is provided to all complainants at stage 1 with their acknowledgment.</p> <p>Details of the Housing Ombudsman are included at page 10. Information is also published on the <a href="#">Feedback, comments and complaints</a> page of the website.</p>
2.7	Landlords must provide residents with contact information for the Ombudsman as part of its regular correspondence with residents.	Y	<p>The contact details are included in the <a href="#">Corporate Complaints Procedure</a> at page 10. This is provided to all complainants at stage 1 with their acknowledgment.</p> <p>Information is also published on the <a href="#">Feedback, comments and complaints</a> page of the website.</p> <p>Contact details for the Ombudsman will also be included in every issue of the Council's tenant's magazine "Hometalk".</p>
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.	Y	<p>We advise complainants in our final letter that they have the right to contact the Ombudsman once their complaint has exhausted the Council's Corporate Complaints Procedure.</p> <p>The acknowledgement includes a link to the <a href="#">Corporate Complaints Procedure</a> which informs of the right to escalate to the Ombudsman.</p>

### 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.	Y	Complaints are accepted where made by social media.

### 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".	Y	The Information Governance and Complaints Team has responsibility for complaint handling.
3.2	...the complaint handler appointed must have appropriate complaint handling skills and no conflicts of interest.	Y	All complaints are dealt with by experienced managers.  All complaint investigations are conducted in an impartial manner. To ensure fairness we will take measures to address any actual or perceived conflict of interest.

### Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
3.3	<p>Complaint handlers should:</p> <ul style="list-style-type: none"><li>• be able to act sensitively and fairly</li><li>• be trained to handle complaints and deal with distressed and upset residents</li><li>• have access to staff at all levels to facilitate quick resolution of complaints</li><li>• have the authority and autonomy to act to resolve disputes quickly and fairly.</li></ul>	Y	All complaints are dealt with by experienced managers.

### 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 <b>within five days of receipt.</b></p>	Y	The <a href="#">Corporate Complaints Procedure</a> , at page 8, sets out timescales for responding to complaints. We aim to acknowledge all complaints within 5 working days of receipt.

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.	Y	If a complaint is not clear the complainant will be asked at the earliest opportunity to clarify the complaint.
4.6	A complaint investigation must be conducted in an impartial manner.	Y	All complaint investigations are conducted in an impartial manner. To ensure fairness we will take measures to address any actual or perceived conflict of interest.
4.7	The complaint handler must: <ul style="list-style-type: none"> <li>• deal with complaints on their merits</li> <li>• act independently and have an open mind</li> <li>• take measures to address any actual or perceived conflict of interest</li> <li>• consider all information and evidence carefully</li> <li>• keep the complaint confidential as far as possible, with information only disclosed if necessary to properly investigate the matter.</li> </ul>	Y	All complaints are dealt with by experienced managers.
4.11	Landlords must adhere to any reasonable arrangements agreed with residents in terms of frequency and method of communication	Y	The <a href="#">Corporate Complaints Procedure</a> , at page 8, sets out timescales for responding to complaints. Complainants are informed of target dates for response at acknowledgement stage and kept updated.
4.12	The resident, and if applicable any staff member who is the subject of the complaint, must also be given a fair chance to: <ul style="list-style-type: none"> <li>• set out their position</li> <li>• comment on any adverse findings before a final decision is made.</li> </ul>	Y	Complainants are given a fair opportunity to set out their position.
4.13	A landlord must include in its complaints policy its timescales for a resident to request escalation of a complaint	N/A	Complainants are not currently restricted on when they can escalate their complaint.



4.14	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.	Y	Complainants are not currently restricted on their right to escalate their complaint through all stages of the <a href="#">Corporate Complaints Procedure</a> , save for the exceptions listed in 1.8 above.
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.	Y	All corporate complaints have a corporate complaints file created and all relevant information is recorded on this.
4.18	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives when pursuing a complaint.	Y	The <a href="#">Corporate Complaints Procedure</a> , at pages 11-13 includes the Council's policy on " <i>Unreasonable Complainant Behaviour</i> ".

### 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	Y	All managers who deal with corporate complaints comply with this requirement.
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.	Y	The <a href="#">Corporate Complaints Procedure</a> , at page 3, paragraph 1.2 , details the Council's aim: <i>"Our aim is to swiftly investigate all corporate complaints with impartiality, finding solutions locally whenever possible to the satisfaction of both complainant and the Council."</i>
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 meeting with the landlord where this is reasonable.	Y	The Council does allow complaints submitted by a third party or for a third party representative to act on a complainant's behalf. However, appropriate authority is sought where a third party or representative submits a complaint on someone's behalf. See page 5, paragraph 5.2 of the <a href="#">Corporate Complaints Procedure</a>
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.	Y	

<b>4.9</b>	Communication with the resident should not generally identify individual members of staff or contractors.	N	Officers are referred to where they are known to the complainant.
<b>4.10</b>	Landlords should keep residents regularly updated about the progress of the investigation.	Y	Complainants are contacted in accordance with the timescales contained in page 8 of the <a href="#">Corporate Complaints Procedure</a> .
<b>4.16</b>	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.	N	This will be covered by the Council's future compliance with the Tenant Satisfaction Measures Standard.
<b>4.17</b>	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	Y	The Council has a positive complaint handling culture and recognises the importance of learning from complaints.
<b>4.19</b>	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.	Y	The Council, as a public authority, will make reasonable adjustments where required to do so. All staff receive equalities training.

## 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 <b><u>within 10 working days</u></b> 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.	N	The <a href="#">Corporate Complaints Procedure</a> allows for 15 working days to respond at each level. The Council is a Local Authority covering more than Housing Services. There is no requirement for two separate procedures, therefore, all complaints are subject to the same timescales. There is provision to extend this where the complainant is notified.
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.	Y	A stage 1 response may include that further action will be completed. This is followed up by the relevant manager.

<b>5.6</b>	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.	Y	Complaint responses meet this requirement.
<b>5.8</b>	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"> <li>• the complaint stage</li> <li>• the decision on the complaint</li> <li>• the reasons for any decisions made</li> <li>• the details of any remedy offered to put things right</li> <li>• details of any outstanding actions</li> <li>• details of how to escalate the matter to stage two if the resident is not satisfied with the answer</li> </ul>	Y	Complaint responses meet this requirement. The <a href="#">Corporate Complaints Procedure</a> , at page 8 and 9, deals with the requirement to inform the complainant of the right to escalate the complaint to the next level.

## Stage 2

<b>Code section</b>	<b>Code requirement</b>	<b>Comply: Yes/No</b>	<b>Evidence, commentary and any explanations</b>
<b>5.9</b>	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.	Y	Complainants are not currently restricted on when they can escalate their complaint.
<b>5.10</b>	On receipt of the escalation request, landlords must set out their understanding of issues outstanding and the outcomes the	Y	If a complaint is not clear the complainant will be asked at the earliest opportunity to clarify the complaint.

	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.		
<b>5.11</b>	Landlords must only escalate a complaint to stage two once it has completed stage one and at the request of the resident.	N	There are instances where a complaint will be escalated to the final stages of the Council's procedure immediately, for example where the service manager has been directly involved in the matter and their handling stage 1 response would not be appropriate.

5.12	The person considering the complaint at stage two, must not be the same person that considered the complaint at stage one.	Y	
5.13	Landlords must respond to the stage two complaint <b>within 20 working days</b> 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.	Y	The <a href="#">Corporate Complaints Procedure</a> , at page 8, confirms that the Council aims to respond within 15 working days after acknowledgement.
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"> <li>• the complaint stage</li> <li>• the complaint definition</li> <li>• the decision on the complaint</li> <li>• the reasons for any decisions made</li> <li>• the details of any remedy offered to put things right</li> <li>• details of any outstanding actions</li> </ul> <b>and</b> <ul style="list-style-type: none"> <li>• if the landlord has a third stage, details of how to escalate the matter to stage three</li> <li>• if this was the final stage, details of how to escalate the matter to the Housing Ombudsman Service if the resident remains dissatisfied.</li> </ul>	Y	Complaint responses meet this requirement. The <a href="#">Corporate Complaints Procedure</a> , at page 8 and 9, deals with the requirement to inform the complainant of the right to escalate the complaint to the next level.

**Stage 3**

<b>Code section</b>	<b>Code requirement</b>	<b>Comply: Yes/No</b>	<b>Evidence, commentary and any explanations</b>
<b>5.17</b>	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.	Y	The <a href="#">Corporate Complaints Procedure</a> allows for 3 stages. Housing cases allow 2 stages.
<b>5.20</b>	Landlords must confirm the following in writing to the resident at the completion of stage three in clear, plain language: <ul style="list-style-type: none"><li>• the complaint stage</li><li>• the complaint definition</li><li>• the decision on the complaint</li><li>• the reasons for any decisions made</li><li>• the details of any remedy offered to put things right</li><li>• details of any outstanding actions</li><li>• details of how to escalate the matter to the Housing Ombudsman Service if the resident remains dissatisfied</li></ul>	N/A	



## 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.	N	The <a href="#">Corporate Complaints Procedure</a> , at page 6, confirms that the Council aims to respond within 15 working days after acknowledgement however <i>"if an unavoidable delay occurs we will notify the complainant and provide a revised due date for response"</i> We will keep the complainant informed. Agreement is not currently sought.
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.	N	Agreement is not currently sought.
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.	Y	
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.	Y	

## 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.	N	Agreement is not currently sought.
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	Y	If a complainant is unsatisfied, they are informed of the right to escalate their complaint to the Ombudsman.

## 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 <b><u>within 20 working days</u></b> 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.	Y	Housing complaints only have 2 stages.
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.	Y	If a complainant is unsatisfied, they are informed of the right to escalate their complaint to the Ombudsman.

## 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.	Y	The <a href="#">Corporate Complaints Procedure</a> , at page 3, paragraph 1.2, details the Council's aim: <i>"Our aim is to swiftly investigate all corporate complaints with impartiality, finding solutions locally whenever possible to the satisfaction of both complainant and the Council."</i>  The Council aims to put things right in its handling of complaints.
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.	Y	
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.	Y	
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.	Y	

## 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.	Y	Learning from complaints is captured and procedural changes logged and followed up.
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.	Y	Advice from Legal Services is sought where appropriate.

## 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.	Y	<p>An annual report is taken to the Council's Executive Management Team ('EMT') and Corporate Overview and Scrutiny Panel.</p> <p>3 further reports are taken to EMT, particularly focusing on learning to be identified and compliance with the Procedure.</p> <p>Going forward the Council's Tenancy Involvement Group will receive 6 monthly reports.</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.	No	
7.4	<p>As a minimum, governing bodies should receive:</p> <ul style="list-style-type: none"> <li>• Regular updates on the volume, categories and outcome of complaints, alongside complaint handling performance including compliance with the Ombudsman's orders</li> <li>• Regular reviews of issues and trends arising from complaint handling,</li> <li>• The annual performance report produced by the Ombudsman, where applicable</li> <li>• 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.</li> </ul>	No	<p>An annual report is taken to the Council's Executive Management Team ('EMT') and Corporate Overview and Scrutiny Panel.</p> <p>3 further reports are taken to EMT, particularly focusing on learning to be identified and compliance with the Procedure.</p> <p>Going forward the Council's Tenancy Involvement Group will receive 6 monthly reports.</p>

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	
7.6	Landlords should have a standard objective in relation to complaint handling for all employees that reflects the need to: <ul style="list-style-type: none"> <li>• have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments</li> <li>• take collective responsibility for any shortfalls identified through complaints rather than blaming others</li> <li>• act within the Professional Standards for engaging with complaints as set by the Chartered Institute of Housing.</li> </ul>	Y	See 6.1 above.

## 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.	Y	
8.2	Landlords must also carry out a self-assessment following a significant restructure and/or change in procedures.	Y	
8.3	Following each self-assessment, a landlord must: <ul style="list-style-type: none"> <li>• 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</li> <li>• publish the outcome of their assessment on their website if they have one, or otherwise make accessible to residents</li> <li>• include the self-assessment in their annual report section on complaints handling performance</li> </ul>	Y	The Self-Assessment is reported annually to the Corporate Overview and Scrutiny Panel and EMT and is published on the <a href="#">Feedback, comments and complaints</a> page of the website.