

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	Complaints procedure para 3.1	<p>Complaints procedure definition:</p> <p><i>“An expression of dissatisfaction, however made, about the standard of service, actions or lack of actions by the authority, or those acting on our behalf, affecting an individual or a group of individuals.”</i></p>
1.3	<p>A resident does not have to use the word ‘complaint’ for it to be treated as such. Whenever a resident expresses dissatisfaction landlords must give them the choice to make complaint. A complaint that is submitted via a third party or representative must be handled in line with the landlord’s complaints policy.</p>	YES	Complaints procedure para 5.2	<p>A complaint can also be made by:</p> <ul style="list-style-type: none"> • A representative acting on behalf of someone who is unable to make the complaint themselves because of physical or mental incapacity. • A representative where they have been asked to act on behalf of a customer. • A representative acting on behalf of someone who has died. <p>For complaints made by a representative we have to comply with the following legal requirements:</p> <ul style="list-style-type: none"> • We must have written authority from the customer (or from their executor or administrator of their estate) to deal with the

				<p>representative acting on their behalf (Data Protection requirements).</p> <ul style="list-style-type: none"> • We will only deal with a complaint made by a representative of someone because of physical or mental incapacity if we are satisfied that it is being pursued in the best interest of the customer. • We will use the term mental incapacity as defined by the Mental Capacity Act 2005
1.4	<p>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.</p>	YES	Complaints procedure para 4.1	<p>In many cases we can resolve an issue very quickly – by putting the problem right straight away. We consider these types of cases as service requests.</p> <p>An example might be where a refuse team has not picked up a customer’s bin, but once the team is made aware of this the bin is picked up on the same day.</p> <p>However, when a customer is unhappy about the way that a service issue or request was handled, this will be dealt with under the EDDC Complaints Procedure.</p>
1.5	<p>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</p>	YES	Complaints procedure para 4.1	<p>A formal complaint will be triggered by resident dissatisfaction even if the handling of the service request remains ongoing</p>

	ongoing. Landlords must not stop their efforts to address the service request if the resident complains.			
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	Complaints procedure para 4.3	Survey responses: An expression of dissatisfaction with services made through a survey is not defined as a complaint but, where possible, respondents will be made aware of how to pursue the matter through our complaints procedure

Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.1	Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint they must be able to evidence their reasoning. Each complaint must be considered on its own merits	YES	Complaints procedure para 4.1	Where we decide not to accept a complaint, we will provide an explanation setting out the reasons why this matter is not suitable for the complaints procedure and refer the complainant to the relevant ombudsman
2.2	<p>A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> • The issue giving rise to the complaint occurred over twelve months ago. • Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. • Matters that have previously been considered under the complaints policy. 	YES	Complaints procedure para 4.4 – 4.7	<p>An appeal is where a request is submitted to change a decision that has been made.</p> <p>For some services there are alternative statutory appeal or tribunal processes in place which must be used rather than the complaints procedure. These services include:</p> <ul style="list-style-type: none"> ▪ Appeals against the refusal of planning permission or planning enforcement. ▪ Appeals against statutory notices. ▪ Parking appeals. ▪ Housing benefit appeals. ▪ Homelessness decisions.

			<p>Where legal proceedings have started (a claim form or particulars of a claim have been filed at court), this matter will not be considered through our formal complaint procedure.</p> <p>Where the subject of a complaint is covered by specific regulatory procedures, it must be dealt with through those procedures. However, when a customer is unhappy about the way that an appeal or tribunal matter was handled, for example a delay in preparing the Council's submission to a tribunal or appeals panel, this should be dealt with under this complaints procedure. If the complaint is about the attitude of staff when handling an appeal or tribunal matter this falls under our East Devon District Council Complaints Procedure.</p> <p>A complaint will not normally be considered if the issue being complained about occurred more than twelve months ago and the council has not received contact about it during this time. We will also not consider complaints that have previously been considered under this procedure.</p> <p>We will deal with anonymous complaints where they involve individual or public safety, alleged corruption, waste or other</p>
--	--	--	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

				<p>impropriety and where we have sufficient information to allow an investigation to proceed.</p> <p>The Council is very keen to make sure elected members uphold good standards of behaviour. If you believe that a Town, Parish or District councillor has done something they shouldn't and failed to comply with the Code of Conduct for elected councillors, there is information on our website about how you can pursue a complaint with the council's Monitoring Officer.</p> <p>In all cases, a complaint will be considered on merit and taking into account the specific circumstances of the case. The council will not take a blanket approach to excluding complaints</p>
2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.	YES	Complaints procedure para 4.7	In all cases, a complaint will be considered on merit and taking into account the specific circumstances of the case. The council will not take a blanket approach to excluding complaints
2.4	If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to	YES	Complaints procedure para 4.7	

	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.			
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	YES	Complaints procedure para 4.7	In all cases, a complaint will be considered on merit and taking into account the specific circumstances of the case. The council will not take a blanket approach to excluding complaints

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 procedure para 5.4 and 5.5	<p>Customers can make a complaint in a way that best suits them. We encourage any customer who has a concern about a particular service to make contact with us straight away. Early complaints give us the best opportunity to resolve an issue quickly.</p> <p>We encourage complaints to be made in written form as this ensures that we correctly understand the nature of the complaint and that all key areas are covered. However, where a complainant is unable to communicate with us in this form, we will accept a complaint over the phone or in person. Where we do so, we will confirm our understanding of the complaint in writing. We will consider our duties under the Equality Act 2010 and make reasonable adjustments for complainants in order to</p>

				<p>enable them to access our complaints process.</p> <p>All staff are aware of the council's complaints procedure and can take details of a complaint directly. They can then refer the matter to the council's complaints team who will progress the complaint.</p> <p>For complaints received via social media, we will ask the customer whether or not they would like to make an official complaint and provide them with relevant links and information to do so.</p>
3.2	Residents must be able to raise their complaints in any way and with any member of staff. All staff must be aware of the complaints process and be able to pass details of the complaint to the appropriate person within the landlord.	YES	Complaints procedure para 5.4	<p>Staff will receive an email to bring their attention to the Housing Ombudsman self assessment annually.</p> <p>We will also publish guidance for staff on our intranet and introduce mandatory training for frontline staff in recognising a complaint and sign-posting complainants</p>
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	YES	Complaints monitoring report Cabinet/HRB	Our reports demonstrate that our complaint numbers have risen significantly year on year and we have a thorough

	complaint volumes are potentially a sign that residents are unable to complain.			recording process to ensure that all formal complaints and service requests are logged
3.4	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the two stage process, what will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord's website.	YES	Complaints procedure para 7	The procedure is available on our website and our correspondence with complainants refers to this and outlines the two stage process
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		
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	Complaints procedure para 5.2	<p>A complaint can also be made by:</p> <ul style="list-style-type: none"> ▪ A representative acting on behalf of someone who is unable to make the complaint themselves because of physical or mental incapacity. ▪ A representative where they have been asked to

				<p>act on behalf of a customer.</p> <ul style="list-style-type: none"> ▪ A representative acting on behalf of someone who has died. <p>For complaints made by a representative we have to comply with the following legal requirements:</p> <p>We must have written authority from the customer (or from their executor or administrator of their estate) to deal with the representative acting on their behalf (Data Protection requirements).</p> <p>We will only deal with a complaint made by a representative of someone because of physical or mental incapacity if we are satisfied that it is being pursued in the best interest of the customer.</p> <p>We will use the term mental incapacity as defined by the Mental Capacity Act 2005</p>
3.7	Landlords must provide residents with information on their right to access the Ombudsman service and how the	YES	Complaints procedure para 10	Complaints about social housing (landlord/tenant

	individual can engage with the Ombudsman about their complaint.			issues) may be referred to the Housing Ombudsman if a complainant remains dissatisfied with the Council's response. A complainant may also choose to refer their complaint to an EDDC Councillor, their MP or to the council's Housing Support Complaint Panel
--	-----------------------------------------------------------------	--	--	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

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	Information and Complaints Team Performance Lead (Housing)	Newly created Performance Team in Housing will oversee the details of complaints and will be highlighting learnings and improvements required. The Housing Performance Lead will work closely with the Housing Service Managers to ensure accountability and that learning from complaints is being implemented.
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	Information Governance Manager Performance Lead (Housing)	The Performance Lead (Housing) is directly accountable to the Director of Housing, Health and Environment and therefore has the autonomy to resolve issues promptly.
4.3	Landlords are expected to prioritise complaint handling and a culture of learning from complaints. All relevant staff must be suitably trained in the importance of complaint handling. It is important that complaints are seen as a core service and must be resourced to handle complaints effectively	YES		Guidance on complaints will form part of core training for staff

Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.	YES	Complaints procedure	Our complaints procedure applies to all complainants and all are treated in the same way.
5.2	The early and local resolution of issues between landlords and residents is key to effective complaint handling. It is not appropriate to have extra named stages (such as 'stage 0' or 'informal complaint') as this causes unnecessary confusion.	YES	Complaints procedure paras 4.1 and 7	We have a clearly publicised two stage procedure and do not have an informal stage. We recognise the difference between a service request and a formal complaint
5.3	A process with more than two stages is not acceptable under any circumstances as this will make the complaint process unduly long and delay access to the Ombudsman.	YES	Complaints procedure para 7	We have a clearly publicised two stage procedure
5.4	Where a landlord's complaint response is handled by a third party (e.g. a contractor or independent adjudicator) at any stage, it must form part of the two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes.	YES	Complaints procedure	We would never refer a complainant to our contractor's complaints procedure directly. As landlord, we would not expect a resident to complaint to the contractor direct
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	N/A		Third parties do not handle complaints on the council's behalf
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	YES	Complaints procedure para 7	We clearly set out in our correspondence with complainants our understanding of their complaint

	complaint definition". If any aspect of the complaint is unclear, the resident must be asked for clarification.			
5.7	When a complaint is acknowledged at either stage, landlords must be clear which aspects of the complaint they are, and are not, responsible for and clarify any areas where this is not clear.	YES	Complaints procedure para 7 and template complaint response	Our template complaint response outlines that we will outline to residents what is being considered
5.8	At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully. 	YES		
5.9	Where a response to a complaint will fall outside the timescales set out in this Code, the landlord must agree with the resident suitable intervals for keeping them informed about their complaint.	YES	Complaints procedure para 7	We routinely correspond with complainants where a deadline is not going to be met and explain the reasons for this and provide a more appropriate timescale for responding
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	YES	Complaints procedure para 13	We are committed to making our complaints procedure accessible to all. We will retain detail about reasonable adjustments and disability in line with our GDPR

	disclosed. Any agreed reasonable adjustments must be kept under active review.			obligations, for as long as it is necessary to do so within our lawful basis for processing
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	Complaints procedure para 7	We will not prevent a complaint from progressing through the complaints procedure
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	Case management system	A comprehensive record of all complaints is maintained by our corporate complaints team
5.13	Landlords must have processes in place to ensure a complaint can be remedied at any stage of its complaints process. Landlords must ensure appropriate remedies can be provided at any stage of the complaints process without the need for escalation.	YES	Complaints procedure para 7 Compensation policy Stage 1 response template	We will consider fault at the first stage of the procedure and provide appropriate remedy at that stage and then this will be considered again at stage 2, if needed
5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives. Landlords must be able to evidence reasons for putting any restrictions in place and must keep restrictions under regular review.	YES	Complaints procedure para 14 Unreasonable customer behaviour procedure	

5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.	YES	Unreasonable customer behaviour procedure	<p>We make sure that we meet the requirements of the Equality Act 2010 and the Public Sector Equality Duty. This includes making sure we consider adjustments for people with protected characteristics.</p> <p>Some people may have difficulty expressing themselves or communicating clearly and/or appropriately. We will always consider the needs and circumstances that we have been made aware of, before deciding how best to manage the situation. This will include making reasonable adjustments. However, this does not mean we will tolerate abusive language, shouting, or other unacceptable behaviour or actions.</p> <p>If an individual with a protected characteristic becomes the subject of a restriction under this policy, we will consider whether the restriction may affect them more than someone without that characteristic. If this is the case, we may make different</p>
------	------------------------------------------------------------------------------------------------------------------------------------------------------------	-----	-------------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

				arrangements so they can still access the service.
--	--	--	--	----------------------------------------------------

Section 6: Complaints Stages

Stage 1

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.1	Landlords must have processes in place to consider which complaints can be responded to as early as possible, and which require further investigation. Landlords must consider factors such as the complexity of the complaint and whether the resident is vulnerable or at risk. Most stage 1 complaints can be resolved promptly, and an explanation, apology or resolution provided to the resident.	YES	Complaints procedure para 7	We will always consider the most effective way to resolve a complaint and will do so as early as possible in the procedure
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <u>within five working days of the complaint being received.</u>	YES	Complaints procedure para 7	
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	YES	Complaints procedure para 7	We recognise that a heavy caseload can mean that we cannot respond to all complaints as quickly as we would like to but always keep complainants advised and provide reasonable expectations in terms of timescales for responding
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint	YES	Complaints procedure para 7	

	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.			
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	Complaints procedure para 7	
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	Complaint response template	We will outline any outstanding actions in our complaint response, with appropriate timescales. All actions will be tracked and monitored through to completion by the Housing Performance Team
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	Complaint response template	
6.8	Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if they are related and the stage 1 response has not been issued. Where the stage 1 response has been issued, the new issues are unrelated to the issues already being investigated or it would unreasonably delay the response, the new	YES		

	issues must be logged as a new complaint.			
6.9	<p>Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language:</p> <ul style="list-style-type: none"> a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response. 	YES	Complaints procedure para 7 Complaint response template	<p>The complaint will be acknowledged within 5 working days and we will explain the procedure and timescales for responding. We will also outline any aspect of the complaint which we cannot consider.</p> <p>The complaint will be investigated by an appropriate officer, usually the Assistant Director for the service, with input from other officers as required. A response will be prepared and sent to the complainant within 10 working days of acknowledgement, where this is practical, but where this is not possible due to the complexity of the matter to which the complaint relates or other exceptional or unforeseen circumstances, we will make this known to the complainant and provide an indicative timescale when a full response will be provided. This correspondence will include contact details for the relevant Ombudsman.</p>

				<p>The stage 1 response will include:</p> <ul style="list-style-type: none"> • A definition and description of the complaint • The decision on the complaint • The reasons for any decision made • Details or any remedy offered to put things right • Details and timescale for any outstanding actions • Details of how to escalate the complaint to stage 2 if the individual is not satisfied. This should be within one month
--	--	--	--	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Stage 2

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.10	If all or part of the complaint is not resolved to the resident's satisfaction at stage 1, it must be progressed to stage 2 of the landlord's procedure. Stage 2 is the landlord's final response.	YES	Complaints procedure para 7	
6.11	Requests for stage 2 must be acknowledged, defined and logged at	YES	Complaints procedure para 7	

	stage 2 of the complaints procedure within five working days of the escalation request being received.			
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	Complaints procedure para 7	The complainant will be encouraged to detail the reasons why they believe their complaint has not been resolved in order that the stage 2 investigation can be focused on the specific outstanding elements of the complaint. However, we will not unreasonably refuse to progress a complaint if this information has not been provided and will take reasonable steps to understand why a complainant remains unhappy. We will not refuse to escalate a complaint unless we have valid reasons for doing so and will clearly explain these reasons.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	YES	Complaints procedure para 7	Assistant Director – stage 1 Director – stage 2
6.14	Landlords must issue a final response to the stage 2 within 20 working days of the complaint being acknowledged.	YES	Complaints procedure para 7	
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	YES	Complaints procedure para 7	A response will be prepared and sent to the complainant within 20 working days of acknowledgement, where this is practical, but where this is

	extension must be no more than 20 working days without good reason, and the reason(s) must be clearly explained to the resident.			not possible due to the complexity of the matter to which the complaint relates or other exceptional or unforeseen circumstances, we will make this known to the complainant and provide an indicative timescale when a full response will be provided
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		The above correspondence will include contact details for the relevant ombudsman
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		
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		
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;	YES	Stage 2 template response	The stage 2 response will include: A definition and description of the matters considered The decision on the complaint The reasons for any decision made Details or any remedy offered to put things right

	<p>e. the details of any remedy offered to put things right;</p> <p>f. details of any outstanding actions; and</p> <p>g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.</p>			<p>Details and timescale for any outstanding actions</p> <p>Details of how to escalate the complaint to the appropriate Ombudsman if the individual is not satisfied.</p>
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	YES	Complaints procedure para 7	Response is provided by most senior housing officer (usually the Director for Housing)

Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; • Taking action if there has been delay; • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; • Providing a financial remedy; 	YES	<p>Complaint template stage 1</p> <p>Complaints procedure para 8</p>	<p>When a complaint is found to be justified the Council will set out the actions we have already taken and those we intend to take to put things right. These can include:</p> <p>Apologising</p> <p>Acknowledging where things have gone wrong</p> <p>Providing an explanation, assistance or reasons</p> <p>Taking action if there has been a delay</p> <p>Reconsidering or changing a decision</p>

	<ul style="list-style-type: none"> Changing policies, procedures or practices. 			<p>Providing a financial remedy</p> <p>Reviewing or changing polices/procedures or practices</p> <p>Apologise to the complainant(s)</p> <p>Explain what has been/will be done to put the mistake right.</p> <p>Explain how the error occurred and what has been done to prevent it happening again</p>
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	YES	Compensation policy	Any remedy offered will reflect the impact on the complainant(s) of any fault identified and will be in accordance with our published Compensation Policy.
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	Complaint template	
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	YES	Compensation policy	Our compensation policy is based on the guidance produced by the ombudsman

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> <ul style="list-style-type: none"> a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. 	YES	<p>Annual complaints monitoring report for Executive Leadership Team Cabinet Scrutiny Housing Review Board</p>	
8.2	<p>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.</p>			

	The governing body's response to the report must be published alongside this.			
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	YES		
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	YES		The authority will comply with any request to do so
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		The authority will make the ombudsman aware of any security incident which results in it being unable to comply with the code

Section 9: Scrutiny & oversight: continuous learning and improvement

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
9.1	Landlords must look beyond the circumstances of the individual complaint and consider whether service improvements can be made as a result of any learning from the complaint.	YES	Learning from complaints in performance monitoring report	Creation of the Housing Performance Team demonstrates the commitment being made to ensure we are continuously learning from complaints.
9.2	A positive complaint handling culture is integral to the effectiveness with which landlords resolve disputes. Landlords must use complaints as a source of intelligence to identify issues and introduce positive changes in service delivery.	YES	Complaints monitoring report	
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	Tenant panel Updates in newsletter Website	Tenant communications including 'you said, we did' type initiatives. Use of tenant Newsletter.
9.4	Landlords must appoint a suitably senior lead person as accountable for their complaint handling. This person must assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.	YES	Performance Lead - Housing	Performance Lead (Housing) who is part of Senior Leadership Team will have the autonomy to oversee this area and ensure risks are highlighted as required. Post-holder will work closely with Service Managers but at arms length (and not responsible to) in order to ensure

				appropriate distance and a role as a critical friend.
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	Portfolio Holder Sustainable Homes and Communities	
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		Monthly Portfolio Holder briefings will be held to ensure regular updates on progress being made and numbers of complaints. All PH briefings will be documented. PH will have opportunity to contribute to Member update reports.
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: <ul style="list-style-type: none"> a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and d. annual complaints performance and service improvement report. 	YES		All to be covered in Member briefing. The categories will be agenda items for the updates.
9.8	Landlords must have a standard objective in relation to complaint handling for all	YES	Complaints procedure	Our complaints procedure is a corporate document which applies to all service areas

	<p>relevant employees or third parties that reflects the need to:</p> <ul style="list-style-type: none">a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; andc. act within the professional standards for engaging with complaints as set by any relevant professional body.			<p>within the authority. The central complaints team ensure that there is joined up working with all service areas</p>
--	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--	--	------------------------------------------------------------------------------------------------------------------------