

Appendix 1

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 | 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 landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.'</i> | Yes | This was formally adopted on 12 March 2024 and implemented on 1 April 2024. The Council's Complaints Policy includes this definition. | The Council has formally adopted this definition and welcomes a standardised definition for all councils to adhere to. The Policy has been updated to show the date of approval and which meeting approved it. |
| 1.3 | 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. | Yes | The Council's Policy allows for complaints to be submitted without the need to state it is a complaint. Third parties are permitted to submit complaints on behalf of other residents. | The Council recognises that complaints can be submitted in any format without the word "complaint". The Policy defines this and allows third parties to register complaints on behalf of other individuals. |
| 1.4 | Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be | Yes | The Council's Policy defines the difference between a request for service and a complaint. The Policy states that all requests for service must be recorded. | The Council has held training sessions for employees throughout 2025/26 on the importance of recognising complaints and requests for service. When in doubt, Officers are encouraged to request |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|--|------------------|--|--|
| | recorded, monitored and reviewed regularly. | | | clarification. Requests for service are being recorded and monitored. |
| 1.5 | A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains. | Yes | The Policy states that complaints should be raised when dissatisfaction is stated toward a request for service. Emphasis is placed on completing the request for service despite there being an active complaint open. | The Council has provided training to ensure that requests for service are followed through and not effectively put on hold while the complaint is investigated. This has been further implemented throughout 2025/26 |
| 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 | The Council publishes its Complaint Policy which includes survey information. | The Council's complaint procedure is on the website for individuals to access and register complaints. |

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 | The Council's Policy includes reasons why a complaint may not be progressed. The Policy states that each complaint needs investigating on its own merit. | The Council reviews all complaints to determine their validity. Complaints will only not be investigated where the criterion within the Policy has been met. |
| 2.2 | A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include: <ul style="list-style-type: none"> • 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. | Yes | This is included within the Council's Complaints Policy. | This is included with the Policy and is reviewed for all complaints. |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|--|------------------|--|--|
| | <ul style="list-style-type: none"> Matters that have previously been considered under the complaints policy. | | | |
| 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 | The Policy gives clear indication toward the 12-month deadline for complaint acceptance. The Policy also states that complaints made outside of this deadline still require consideration as to whether they must be investigated. | This is included within the Policy and is reviewed for all 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 take that decision to the Ombudsman. If the Ombudsman does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint. | Yes | The Policy provides guidance on the information required to be given to complainants where complaints are not accepted. | The Council provides this information in accordance with the Policy and as part of any correspondence when rejecting complaints. |
| 2.5 | Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint. | Yes | The Policy requires all complaints to be dealt with on their individual merit. | The Council reviews all complaints and treats them on their individual merit. |

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 | The Policy allows for complaints to be accepted in any format. The Council is able to make reasonable adjustments to facilitate complaints. | The complaint form is accessible on the Council's website. All employees are trained in the Equality Act 2010 and adjustments can be made to facilitate these requests when made. Additionally, Complainants are able to make submissions face-to-face or on the telephone as necessary. |
| 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 | All employees have access to the Complaints Policy and access to complaint forms to assist with registering complaints. | All employees are trained annually on the complaints process. |
| 3.3 | High volumes of complaints must not be seen as a negative, as they can be indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a | Yes | This is included within the Policy. | The Council recognises the importance of complaints to identify systemic issues. |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|--|------------------|-------------------------------------|--|
| | sign that residents are unable to complain. | | | |
| 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 | This is included within the Policy. | The Policy is published online and a copy is available at the Council Office reception. The Policy is also available on request. |
| 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 | This is included within the Policy. | The Policy states this and it is included on the Complaints page on the Council's website. |
| 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 | This is included within the Policy. | The Council allows complaints to be made in this format and makes the necessary arrangements when required. |
| 3.7 | Landlords must provide residents with information on their right to access the Ombudsman service and how the individual can engage with the Ombudsman about their complaint. | Yes | This is included within the Policy. | The Council publishes the HO's contact details and includes these as part of the complaint responses. |

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 | The Council has a dedicated Officer to facilitate the complaints process. | The Council has a role to deal with complaints: the Complaints Officer. More resource has been dedicated to the role through a Democratic Services restructure to allow further time to be committed to complaints. |
| 4.2 | The complaints officer must have access to staff at all levels to facilitate the prompt resolution of complaints. They must also have the authority and autonomy to act to resolve disputes promptly and fairly. | Yes | The Complaints Officer has access to all employees and is able to remedy complaints at all stages. | The Complaints Officer has access to all records and employees to ensure complaints are investigated. |
| 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 | This is included within the Policy. The Council look to learn from complaints and all employees are trained annually on the process. The Council's general management team regularly | All employees are trained annually on the complaints process. The Council recognises the importance of complaints to identify systemic issues. |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|------------------|------------------|---|--------------------------|
| | | | engages with reports on complaints to help identify themes and ensure lessons learnt are implemented. | |

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 | The Council has one Policy to deal with complaints which encompasses the requirements of both the HO and LGSCO. | All complaints are dealt with on their individual merit under the Council's single complaint procedure. |
| 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 | The Policy encourages local resolution in the first instance. | The Council has two stages in the Policy. Officers are encouraged to close complaints at a local level in the first instance. |
| 5.3 | A process with more than two stages is not acceptable under any circumstances as this will make the complaint process unduly long and delay access to the Ombudsman. | Yes | There are no more than two stages in the Policy. | The Council does not have more than two stages, prior to any potential escalation to the Ombudsman. |
| 5.4 | Where a landlord's complaint response is handled by a third party (e.g. a | Yes | This is included within the Policy. | Complaints regarding contractors are handled by |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|--|------------------|-------------------------------------|---|
| | 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. | | | the department that procured them and through the Policy. |
| 5.5 | Landlords are responsible for ensuring that any third parties handle complaints in line with the Code. | Yes | This is included within the Policy. | This is undertaken through the stipulations of the Policy. |
| 5.6 | When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. The Code will refer to this as “the complaint definition”. If any aspect of the complaint is unclear, the resident must be asked for clarification. | Yes | This is included within the Policy. | The Council writes to all complainants to provide the investigating officer’s understanding of the complaint. Officers are encouraged to clarify complaints where these are not clear. |
| 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 | This is included within the Policy. | The Council writes to all complainants to provide the investigating officer’s understanding of the complaint. Officers are encouraged to clarify complaints where these are not clear. |
| 5.8 | At each stage of the complaints process, complaint handlers must: | Yes | This is included within the Policy. | All complaint handlers are trained to deal with |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|--|------------------|---|--|
| | <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. | | All employees have been trained on the complaints process and all complaint handlers have been trained in line with the Policy. | complaints in line with the list provided in the Policy. |
| 5.9 | Where a response to a complaint will fall outside the timescales set out in this Code, the landlord must agree with the resident suitable intervals for keeping them informed about their complaint. | Yes | The Policy sets out the expectation for communication during the complaint process. | The Council includes the importance of good communication when all complaint handlers receive training. |
| 5.10 | Landlords must make reasonable adjustments for residents where appropriate under the Equality Act 2010. Landlords must keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review. | Yes | This is included within the Policy. The Council is able to make reasonable adjustments to facilitate complaints. | All employees are trained in the Equality Act 2010 and adjustments can be made to facilitate these requests when made. |
| 5.11 | Landlords must not refuse to escalate a complaint through all stages of the complaints procedure unless it has | Yes | The Policy dictates which complaints can and cannot be escalated through the complaints | The Council reviews all complaints to determine their validity. |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|---|------------------|---|---|
| | 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. | | process. This is undertaken on a case by case basis. | Complaints will only not be investigated where the criteria within the Policy has or has not been met. |
| 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 | The Council retain copies of all complaints correspondence and the Policy specifically states that this is a requirement. | The Council has a complaint database that is used to store this information centrally in line with the Council's retention policy. |
| 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 | The Council's Complaint Policy in addition to the Council's Constitution allows for complaints to be dealt with at any stage and without the need for escalation. | The Council's Scheme of Delegation allows departments to remedy complaints at all stages. |
| 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 | The Council has adopted a Dealing with Vexatious Complainant Behaviour Policy. | The Council has adopted a Dealing with Vexatious Complainant Behaviour Policy. This Policy will be reviewed by Members during 2025. |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|--|------------------|---|--|
| 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 | The above Policy has been written in line with the Equality Act 2010. | The above Policy has been written with due consideration given to the Equality Act 2010. |

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 | The Policy encourages the closing of complaints in a timely manner with appropriate resolution. | All investigating Officers are trained to prioritise and respond to complaints in a timely manner. In order to achieve this a dedicated role has been established in Housing to facilitate the stage 1 process. |
| 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 | This is included within the Policy. | All investigating officers are trained to acknowledge and log complaints in line with the Policy. Templates are available to assist with this. |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|---|------------------|-------------------------------------|--|
| 6.3 | Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged. | Yes | This is included within the Policy. | All investigating officers are trained to response to complaints in line with the Policy. |
| 6.4 | Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident. | yes | This is included within the Policy. | All investigating officers are required to provide an extension where the initial deadline cannot be met. |
| 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 | This is included within the Policy. | This is included within the appropriate template for investigating officers to use. |
| 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 | This is included within the Policy. | Investigating Officers are trained to provide response in a timely manner when the response it known. The Council actively registers and monitors actions regarding complaints. |
| 6.7 | Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, | Yes | This is included within the Policy. | All investigating Officers are trained in responding to complaints fully. |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|---|------------------|-------------------------------------|---|
| | referencing the relevant policy, law and good practice where appropriate. | | | |
| 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 issues must be logged as a new complaint. | Yes | This is included within the Policy. | All investigating Officers are trained in registering and identifying new complaints. |
| 6.9 | Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> 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 | This is included within the Policy. | All investigating Officers are trained in responding to complaints fully. |

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 | This is included within the Policy. | The Council has a stage 2 process. All complaints are escalated when requested unless they are exempt as per the exclusion section of the Policy. Further resource will be available in 2026/27 to assist with the stage 2 process. |
| 6.11 | Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaints procedure within five working days of the escalation request being received. | yes | This is included within the Policy. | The Council acknowledge complaints in line with the Policy. |
| 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 | This is included within the Policy. | The Council does not request a reason for the escalation of a complaint to stage 2. |
| 6.13 | The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1. | Yes | This is included within the Policy. | The Complaints Team is independent and does not respond to stage 1 complaints. |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|---|------------------|-------------------------------------|--|
| 6.14 | Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged. | Yes | This is included within the Policy. | The Council monitors and reports the performance of targets of responding to stage 2 complaints. |
| 6.15 | Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 20 working days without good reason, and the reason(s) must be clearly explained to the resident. | Yes | This is included within the Policy. | All investigating Officers are trained in responding to complaints fully. All investigating Officers are trained to provide extension where the initial deadline cannot be met. |
| 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 | This is included within the Policy. | This is included within the appropriate template for investigating Officers to use. |
| 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 | This is included within the Policy. | Investigating Officers are trained to provide response in a timely manner when the response is known. The Council actively registers and monitors actions regarding complaints. |
| 6.18 | Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, | Yes | This is included within the Policy. | All investigating Officers are trained in responding to complaints fully. |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|---|------------------|--|---|
| | referencing the relevant policy, law and good practice where appropriate. | | | |
| 6.19 | Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: <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 the Ombudsman Service if the individual remains dissatisfied. | Yes | This is included within the Policy. | All investigating Officers are trained in responding to complaints fully. |
| 6.20 | Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response. | Yes | The Complaints Officer has access to employees at all levels and this is stipulated in the Policy, | All stage 2 complaints are fully investigated. |

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; • Changing policies, procedures or practices. | Yes | This is included within the Policy. The Council also has a Compensation Policy to assist and provide consistency when remedying complaints. | <p>All investigating Officers are trained on the appropriate steps to remedy complaints.</p> <p>The Council has a formal Complaints Compensation Policy to deal with this issue.</p> <p>Further training has been given to officers at stage 1 in offering appropriate remedies</p> |
| 7.2 | Any remedy offered must reflect the impact on the resident as a result of any fault identified. | Yes | This is included within the Policy. The Council also has a Compensation Policy to assist with remedying complaints. | <p>All investigating Officers are trained on the appropriate steps to remedy complaints.</p> <p>The Council has a formal Complaints Compensation Policy to deal with this issue.</p> |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|---|------------------|---|--|
| 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 | This is included within the Policy. The Council also has a Compensation Policy to assist with remedying complaints. | All investigating Officers are trained on the appropriate steps to remedy complaints. The Council has a formal Complaints Compensation Policy to deal with this issue. |
| 7.4 | Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies. | Yes | This is included within the Policy. The Council also has a Compensation Policy to assist with remedying complaints. | All investigating Officers are trained on the appropriate steps to remedy complaints. The Council has a formal Complaints Compensation Policy to deal with this issue. The Council uses the guidance of the HO to assist with remedying complaints. |

Section 8: Putting things right

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|--|------------------|---|--|
| 8.1 | Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include: | Yes | This is reported to the Council's Cabinet, and Governance, Audit and Standards Committee on a quarterly and annual basis. | The Council produces a quarterly and annual report for the Governance, Audit |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|---|------------------|--|---|
| | <p>a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.</p> <p>b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept;</p> <p>c. any findings of non-compliance with this Code by the Ombudsman;</p> <p>d. the service improvements made as a result of the learning from complaints;</p> <p>e. any annual report about the landlord's performance from the Ombudsman; and</p> <p>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</p> | | <p>Following the assignment of a Lead Member for complaints, reports are produced for the Council's Cabinet on a quarterly basis along with an annual summary.</p> | <p>and Standards Committee and Cabinet meetings.</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. The governing body's</p> | Yes | <p>The Policy states where the annual performance report will be published. This is also reported to the Governance, Audit and Standards Committee and, Cabinet.</p> | <p>The Council produces a quarterly and annual report for the Governance, Audit and Standards Committee and Cabinet meetings.</p> |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|---|------------------|-------------------------------------|--|
| | 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 | This is included within the Policy. | The self-assessment is carried out after each significant restructure and annually. |
| 8.4 | Landlords may be asked to review and update the self-assessment following an Ombudsman investigation. | Yes | This is included within the Policy. | The Council will undertake the self-assessment as requested. |
| | 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 | This is included within the Policy. | The Council will notify the necessary individuals and the HO when the self-assessment is unable to be completed. |

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 | This is included within the Policy. | The Council continuously looks to improve from complaints and look for systemic issue that may be causing the 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 | This is included within the Policy. | <p>The Council welcomes complaints and has facilities in place to accommodate a positive complaint handling culture.</p> <p>The Council has a Housing Improvement Board to learn from complaints which now has Member representation.</p> <p>There is a Tenants' Complaints Panel which provides feedback on the complaints process.</p> |
| 9.3 | Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees. | Yes | An annual and quarterly reports are produced for the Council's General Management Team, Governance, Audit and Standards Committee and Cabinet. The number of complaints, at each stage, are reported to Members on a quarterly basis. | The Council produces a quarterly and annual report for the Governance, Audit and Standards Committee and Cabinet meetings. |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|--|------------------|--|--|
| 9.4 | Landlords must appoint a suitably senior lead person as accountable for their complaint handling. This person must assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision. | yes | The Council's Director of Legal and Democratic Services (Monitoring Officer) has departmental responsibility for complaints. | The Director is supported by the Head of Democratic Services, the Complaints Officer and the Democratic Services Manager in their duties. |
| 9.5 | In addition to this a member of the governing body (or equivalent) must be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This person is referred to as the Member Responsible for Complaints ('the MRC'). | Yes | The Council's Portfolio Holder for Resources and Personnel Policy was appointed as the Lead for complaints on 18 March 2024. | The Council's Portfolio Holder for Resources is responsible for complaints and reporting to Cabinet. The Council's Constitution was amended to accommodate this. |
| 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 | An annual and quarterly reports are produced for the Council's General Management Team, Governance, Audit and Standards Committee and Cabinet. The number of complaints, at each stage, are report to Members monthly. | The Council's Portfolio Holder for Resources is the Member responsible for complaints and reporting to Cabinet. |
| 9.7 | As a minimum, the MRC and the governing body (or equivalent) must receive: a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; | Yes | An annual and quarterly reports are produced for the Council's General Management Team, Governance, Audit and Standards Committee and Cabinet. The number of | The Council's Portfolio Holder for Resources and Personnel Policy is responsible for complaints and reporting to Cabinet. |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|--|------------------|---|--|
| | 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. | | complaints, at each stage, are report to Members monthly. | The Council produces a quarterly and annual report for the Governance, Audit and Standards Committee and Cabinet meetings. |
| 9.8 | Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to: 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; and c. act within the professional standards for engaging with complaints as set by any relevant professional body. | Yes | This is included within the Policy. | The Council actively deals with all complaints fairly and work positively to remedy and learn from issues where a fault has been identified. |