

Appendix B – Self-Assessment Form

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

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

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

Section 1 - Definition of a complaint

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
1.2	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>	Yes	This is defined within our online Comments, Compliments and Complaints procedure . Section titled <u>What is a complaint?</u> specifies: <i>'A complaint is an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the Council, its staff, or those acting on behalf of the Council, affecting an individual citizen or group of citizens.'</i>
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.	Yes	Our residents do not have to use the word 'complaint' for it to be treated as such. This is defined within our online Comments, Compliments and Complaints procedure . Section titled <u>Who can make a complaint</u> specifies: <i>'The Council will accept complaints from anyone who has used or been affected by a service provided by or on behalf of the Council. The Council will also accept complaints from anyone who is acting on behalf of a service user with their knowledge and consent.'</i> <i>Anonymous complaints may be dealt with under this procedure at the discretion of the Council.'</i>
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.	Yes	Where there is a live complaint, customers can also raise multiple requests during the process of a complaint, prior to the investigation starting.
1.7	A landlord must accept a complaint unless there is a valid reason not to do so.	Yes	As a landlord we do accept, log, investigate and respond to all complaints.
1.8	A complaints policy must clearly set out the circumstances in which a matter will not be considered, and these circumstances should be fair and reasonable to residents.	Yes	This is set out in our online Comments, Compliments and Complaints procedure . Section titled <u>What will not be treated as a complaint under this procedure</u>
1.9	If a landlord decides not to accept a complaint, a detailed explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman.	Yes	To date we have had no situation whereby we have not accepted a complaint.

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
1.4	Landlords should recognise the difference between a service request , where a resident may be unhappy with a situation that they wish to have rectified, and a complaint about the service they have/have not received.	Yes	This is defined within our online Comments, Compliments and Complaints procedure . section titled 'What is a complaint?' it states: <i>'Complaints and service requests can be closely related. The initial reporting of a fault will normally be treated as a service request and the Council will seek to resolve the issue outside of this procedure in the first instance. When assessing whether to treat a contact as a complaint or a service request each case will be considered on its individual merits and consideration may be given to the following factors'</i> As a landlord we do recognise the difference between a service request and a complaint. We follow the Housing Ombudsman definition on this matter.
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.	No	We will ensure that we provide information on how to make a complaint when we carry out future surveys e.g. the autumn 2023 STAR survey. We also gather real-time transactional satisfaction performance on completion of repairs & gas servicing, with direct interventions by team leaders/planners where satisfaction is less than required.

Section 2 - Accessibility and awareness

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
2.1	Landlords must make it easy for residents to complain by providing different channels through which residents can make a complaint such as in person, over the telephone, in writing, by email and digitally. While the Ombudsman recognises that it may not be feasible for a landlord to use all of the potential channels, there must be more than one route of access into the complaints system.	Yes	This is defined within our online Comments, Compliments and Complaints procedure . Section titled. How to make a comment, compliment or complaint? provides detail on how to raise a complaint via: <ul style="list-style-type: none"> • Telephone • Online form • In person • In writing (to our Town Hall) • By email • Via a Councillor or MP The Council's Tenant Portal is due to go live in autumn 2023, with the functionality for tenants to raise a complaint, comment or compliment.
2.3	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the number of stages involved, what will happen at each stage and the timeframes for responding.	Yes	This is defined within our online Comments, Compliments and Complaints procedure . The procedure details: <ul style="list-style-type: none"> • Number of stages involved. • What occurs at each stage. • The timeframes of each stage.
2.4	Landlord websites, if they exist, must include information on how to raise a complaint. The complaints policy and process must be easy to find on the website.	Yes	This is defined within our online Comments, Compliments and Complaints procedure . Section titled How to make a comment, compliment or complaint? By simply typing the word 'complaint' with in the search bar of www.oxford.gov.uk returns the necessary webpage on complaints that residents need.

2.5	Landlords must comply with the Equality Act 2010 and may need to adapt normal policies, procedures, or processes to accommodate an individual's needs. Landlords must satisfy themselves that their policy sets out how they will respond to reasonable adjustments requests in line with the Equality Act and that complaints handlers have had appropriate training to deal with such requests.	Yes	This is defined within our online Comments, Compliments and Complaints procedure . Section 'Reasonable Adjustments' specifies: <i>'Anyone is welcome to make a comment. Compliment or complaint and the Council is committed to treating everyone fairly. If a complainant requires any particular assistance the Council will tailor made this service to the complainants needs. This may include, for example, the provision of information in alternative formats (e.g. large print), the use of a language service, or communication through a representative'</i> .
2.6	Landlords must publicise the complaints policy and process, the Complaint Handling Code and the Housing Ombudsman Scheme in leaflets, posters, newsletters, online and as part of regular correspondence with residents.	Yes	This is defined within our online Comments, Compliments and Complaints procedure . Section <i>Ombudsman</i> As Landlord we produced a Complaints campaign leaflet in October 2022 with posters displayed in blocks and leaflets distributed by operatives carrying out repairs & services. Information on how to complain is also published in our tenant magazine, published monthly (digital via GovDelivery) and quarterly (hard copy to those that have not opted to receive the digital version).
2.7	Landlords must provide residents with contact information for the Ombudsman as part of its regular correspondence with residents.	Yes	Contact information for the Housing Ombudsman is included in both Stage 1 and Stage 2 written responses to residents. This is defined within our online Comments, Compliments and Complaints procedure . Section <i>Ombudsman</i> which includes the contact details for the Ombudsman.
2.8	Landlords must provide early advice to residents regarding their right to access the Housing Ombudsman Service throughout their complaint, not only when the landlord's complaints process is exhausted.	Yes	Contact information for the Housing Ombudsman is included in both Stage 1 and Stage 2 written responses to residents.

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.	N/A	

Section 3 - Complaint handling personnel

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
3.1	Landlords must have a person or team assigned to take responsibility for complaint handling to ensure complaints receive the necessary attention, and that these are reported to the governing body. This Code will refer to that person or team as the "complaints officer".	Yes	Oxford City Council employed a Customer Care & Complaints Officer in October 2022. The officer is assigned to take responsibility of landlord related complaints.
3.2	...the complaint handler appointed must have appropriate complaint handling skills and no conflicts of interest.	Yes	The Customer Care & Complaints Officer does have appropriate skills and there are no conflicts of interest.

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
3.3	Complaint handlers should: <ul style="list-style-type: none"> • be able to act sensitively and fairly • be trained to handle complaints and deal with distressed and upset residents • have access to staff at all levels to facilitate quick resolution of complaints • have the authority and autonomy to act to resolve disputes quickly and fairly. 	Yes	Our Customer Care & Complaints Officer make contact with the complainant once it has been logged, to better understand the complaint and to seek a fair and balance resolution from the outcome. The officer will also make reference to the Housing Ombudsman at this stage and establish if any reasonable adjustments need to be made.

Section 4 - Complaint handling principles

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
4.1	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	Yes	A complaints system/log is in place to manage landlord complaints. The log keeps clear audit trail of correspondents between the complainant and landlord. The complaints system/log does not include any additional stages outside of the required two stage process.

	logged at stage one of the complaints procedure within five 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.	Yes	Written acknowledgements contain a summary of the issues being complained about and the outcomes the resident is seeking. The initial contact between the Complaint Officer and the tenant also confirms the position.
4.6	A complaint investigation must be conducted in an impartial manner.	Yes	Having recruited a Customer Care & Complaints Officer, this ensures that all complainants are treated in an unbiased fashion when contact is made.
4.7	The complaint handler must: <ul style="list-style-type: none"> • deal with complaints on their merits • act independently and have an open mind • take measures to address any actual or perceived conflict of interest • consider all information and evidence carefully • keep the complaint confidential as far as possible, with information only disclosed if necessary to properly investigate the matter. 	Yes	The Complaint Officer is independent of service areas and complies with this element. GDPR is considered at all stages and information sharing minimised to those who have access to the Complaints System/log.
4.11	Landlords must adhere to any reasonable arrangements agreed with residents in terms of frequency and method of communication	Yes	As a landlord we contact the customer and discuss frequency and preferred communication methods.
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"> • set out their position • comment on any adverse findings before a final decision is made. 	Yes	If a staff member is subject to a complaint, they will be interviewed by the Complaint Officer and they will have an opportunity to set out their position and comment on any adverse findings. As part of the response to a resident, they are given the opportunity to clarify or discuss the original findings before a final decision is made.
4.13	A landlord must include in its complaints policy its timescales for a resident to request escalation of a complaint	Yes	This is defined within our online Comments, Compliments and Complaints procedure . Section titled <u>How your complaint will be dealt with</u> does specify the timescales of escalation if the complainant is not satisfied by the outcome.
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.	Yes	Where a complaint is not upheld, we clearly advise the customer how that outcome has been reached and offer them an opportunity to appeal or discuss further as part of our complaint response letter. In our online Comments, Compliments and Complaints procedure , we have set out the circumstances where we may reasonably refuse to escalate a complaint.
4.15	A full record must be kept of the complaint, any review, and the outcomes at each stage. This must include the original complaint and the date received, all correspondence with the resident, correspondence with other parties and any reports or surveys prepared.	Yes	A Complaints system/log is in place for Landlord Complaints. This includes a record of complaints stage, date complaints received, deadlines (date & time) for stage responses/acknowledgement, status, outcome, as well as record of all correspondents between complainant and the Landlord.
4.18	Landlords must have policies and procedures in place for managing unacceptable behaviour from	Yes	This is defined within our online Comments, Compliments and Complaints procedure . Section titled <u>Reasonable and Unreasonable Behaviour</u>

	residents and/or their representatives when pursuing a complaint.		And section titled <u>Manage unreasonable behaviour and vexatious complaints</u> We also have Vexatious Guidance.
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Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
4.3	Landlords should manage residents' expectations from the outset, being clear where a desired outcome is unreasonable or unrealistic	Yes	Customer Care & Complaints Officer contacts the complainant to fully understand the details of the complaint that has been raised. They will also be clear with the resident about complaints where the desired outcome of the tenant is unreasonable or unrealistic.
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.	Yes	Every effort is made to resolve complaints at the earliest opportunity, having due regard to the complexity of the case and any urgent issues are dealt with in a timely manner, where necessary, before the complaint response is sent out.
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.	Yes	Residents have the opportunity to have a representative deal with their complaint or to accompany them at any meeting.
4.8	Where a key issue of a complaint relates to the parties' legal obligations landlords should clearly set out their understanding of the obligations of both parties.	Yes	The Complaint Officer will clearly set out their understanding of legal obligations on each party.
4.9	Communication with the resident should not generally identify individual members of staff or contractors.	Yes	We only list staff names if these names are identified by the tenants themselves and it is relevant to do so.
4.10	Landlords should keep residents regularly updated about the progress of the investigation.	Yes	Investigation Officer establishes how regular contact is made with the complainant during the stage one investigation process.
4.16	Landlords should seek feedback from residents in relation to the landlord's complaint handling as part of the drive to encourage a positive complaint and learning culture.		
4.17	Landlords should recognise the impact that being complained about can have on future service delivery. Landlords should ensure that staff are supported and engaged in the complaints process, including the learning that can be gained	Yes	As a landlord we recognise the positive impact complaints have on future service delivery, which is supported through the investigation process. Appreciative enquiries and customer journey mapping has been carried out in areas where complaints have been raised. Learning from complaints is shared across service areas and in the example of day-to-day repairs, any learning is also shared with operatives through "toolbox talks."
4.19	Any restrictions placed on a resident's contact due to unacceptable behaviour should be appropriate to their needs and should demonstrate regard for the provisions of the Equality Act 2010.	Yes	If it is necessary to restrict contact with a resident, we will have due regard to the provisions of the Equality Act 2010 our Equality Duty, the protected characteristics of the resident and any reasonable adjustments that may be required.

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 within 10 working days 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.	Yes	This is defined within our online Comments, Compliments and Complaints procedure . Section titled <u>How your complaints will be dealt with</u> This states that we will respond within 10 working days. Where there are exceptional circumstances and it is not possible to provide a response within 10 working days, we will inform the resident and provide a clear timeframe and explanation as to why.
5.5	A complaint response must be sent to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue, are completed. Outstanding actions must still be tracked and actioned expeditiously with regular updates provided to the resident.	Yes	Written complaint responses are sent to the resident when the answer to complaint is known. Where there are any outstanding actions, these are listed within the written response with target dates. The Customer Care & Complaints Officer logs any outstanding actions and tracks these to completion by working with the relevant service area.
5.6	Landlords must address all points raised in the complaint and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	As a landlord our complaints responses do address all points raised and provide clear reasons for the decisions.
5.8	Landlords must confirm the following in writing to the resident at the completion of stage one in clear, plain language: <ul style="list-style-type: none"> the complaint stage the decision on the complaint the reasons for any decisions made the details of any remedy offered to put things right details of any outstanding actions details of how to escalate the matter to stage two if the resident is not satisfied with the answer 	Yes	We have adopted the Housing Ombudsman's template response letters, incorporating the requirements to ensure compliance.

Stage 2

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.9	If all or part of the complaint is not resolved to the resident's satisfaction at stage one it must be progressed to stage two of the landlord's procedure, unless an exclusion ground now applies. In instances where a landlord declines to escalate a complaint it must clearly communicate in writing its reasons for not escalating as well as the resident's right to approach the Ombudsman about its decision.	Yes	If the complainant is not satisfied by the response, then they are able to escalate the complaint to the second and final stage. If we declined to escalate a complaint where an exclusion ground applies, we would write to the resident to clearly explain the reasons and providing information on how the resident could approach the Housing Ombudsman about this decision.
5.10	On receipt of the escalation request, landlords must set out their understanding of issues outstanding and the outcomes the resident is seeking. If any aspect of the complaint is unclear, the resident must be asked for clarification and the full definition agreed between both parties.	Yes	Written acknowledgements contain a summary of the issues being escalated and the outcomes the resident is seeking. Further contact between the Complaint Officer and the tenant also confirms the position.

5.11	Landlords must only escalate a complaint to stage two once it has completed stage one and at the request of the resident.	Yes	All our Landlord Complaints are logged at first instance as a stage1 and do not start at a stage 2.
5.12	The person considering the complaint at stage two, must not be the same person that considered the complaint at stage one.	Yes	This is defined within our online Comments, Compliments and Complaints procedure . Section titled <u>How your complaints will be dealt with</u> specifies: <i>Our stage 2 complaints are responded to by a Head of Service.</i>
5.13	Landlords must respond to the stage two complaint within 20 working days of the complaint being escalated. Exceptionally, landlords may provide an explanation to the resident containing a clear timeframe for when the response will be received. This should not exceed a further 10 days without good reason.	Yes	Our stage 2 complaints are responded to within the 20 working days, although we aim to provide the response in as short a time-frame as possible, following a thorough investigation by the Head of Service. Where there are exceptional circumstances and it is not possible to provide a response within 20 working days, we will inform the resident and provide a clear timeframe and explanation as to why.
5.16	Landlords must confirm the following in writing to the resident at the completion of stage two in clear, plain language: <ul style="list-style-type: none"> the complaint stage the complaint definition the decision on the complaint the reasons for any decisions made the details of any remedy offered to put things right details of any outstanding actions and <ul style="list-style-type: none"> if the landlord has a third stage, details of how to escalate the matter to stage three if this was the final stage, details of how to escalate the matter to the Housing Ombudsman Service if the resident remains dissatisfied. 	Yes	We have adopted the Housing Ombudsman's template response letters, incorporating the requirements to ensure compliance. We provide details of how the resident can escalate the matter to the Housing Ombudsman. As a landlord, we do not have a third stage to our complaints process.

Stage 3

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.17	Two stage landlord complaint procedures are ideal. This ensures that the complaint process is not unduly long. If landlords strongly believe a third stage is necessary, they must set out their reasons for this as part of their self-assessment. A process with more than three stages is not acceptable under any circumstances.	N/A	As a landlord, we do not have a third stage to our complaints process.
5.20	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"> the complaint stage the complaint definition the decision on the complaint the reasons for any decisions made the details of any remedy offered to put things right details of any outstanding actions details of how to escalate the matter to the Housing Ombudsman Service if the resident remains dissatisfied 	N/A	As a landlord, we do not have a third stage to our complaints process.

Best practice 'should' requirements

Stage 1

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.2	If an extension beyond 20 working days is required to enable the landlord to respond to the complaint fully, this should be agreed by both parties.	Yes	The Customer Care & Complaints Officer makes contact with the complainant to discuss an extension. Where this is agreed, this is confirmed in writing.
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.	Yes	If there was a disagreement to the extension, then the complainant will be provided with the Housing Ombudsman details.
5.4	Where the problem is a recurring issue, the landlord should consider any older reports as part of the background to the complaint if this will help to resolve the issue for the resident.	Yes	The Investigation Officer looks into the background details of all complaints and will carry out a balanced assessment at this stage.
5.7	Where residents raise additional complaints during the investigation, these should be incorporated into the stage one response if they are relevant, and the stage one response has not been issued. Where the stage one response has been issued, or it would unreasonably delay the response, the complaint should be logged as a new complaint.	Yes	We do allow complainants the opportunity to add issues to their stage one complaint, if the original complaint as not yet been responded to.

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Stage 2

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.14	If an extension beyond 10 working days is required to enable the landlord to respond to the complaint fully, this should be agreed by both parties.	Yes	The Customer Care & Complaints Officer makes contact with the complainant to discuss an extension. Where this is agreed, this is confirmed in writing.
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	Yes	If there was a disagreement to the extension, then the complainant will be provided with the Housing Ombudsman details.

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 within 20 working days 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.	N/A	As a landlord, we do not have a third stage to our complaints process.

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.	N/A	As a landlord, we do not have a third stage to our complaints process.
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Section 6 - Putting things right.

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
6.1	Effective dispute resolution requires a process designed to resolve complaints. Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right.	Yes	Oxford City Council's complaints procedure is in place to effectively resolve disputes, by identifying what has gone wrong and the intended actions to put things right. This is evident from the investigating officer managing the next steps and outcomes until the complaint is fully resolved. The Service area affected where relevant will make the appropriate service improvements.
6.2	Any remedy offered must reflect the extent of any service failures and the level of detriment caused to the resident as a result. A landlord must carefully manage the expectations of residents and not promise anything that cannot be delivered or would cause unfairness to other residents.	Yes	We recognise where there are failings and manage the expectation of the complainants and what we are then able to deliver. Remedies include apologies, compensation, ex-gratia payments or a gesture e.g., charitable contribution
6.5	The remedy offer must clearly set out what will happen and by when, in agreement with the resident where appropriate. Any remedy proposed must be followed through to completion.	Yes	From the conclusion of the investigation remedies are identified where appropriate in agreement with the complainant and any remedies proposed are monitored through to completion.
6.6	In awarding compensation, a landlord must consider whether any statutory payments are due, if any quantifiable losses have been incurred, the time and trouble a resident has been put to as well as any distress and inconvenience caused.	Yes	This is defined within our online Comments, Compliments and Complaints procedure . Section titled <u>Remedy</u> and specified: <i>If it is identified during the complaints process that a fault by the Council has directly caused personal injustice the Council will seek to offer a remedy that is proportionate and reasonable in view of the circumstances of the situation. This may include, for example, offering an apology, reviewing processes and procedures, or offering to compensate any financial loss resulting directly from the Council's actions.</i> We take into account the quantifiable losses to the complaint, which includes the time and trouble it has taken for them to complain when awarding compensation. We will also consider any statutory payments such as Home Loss, Right to Repair etc.

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
6.3	Landlords should look beyond the circumstances of the individual complaint and consider whether anything needs to be 'put right' in terms of process or systems to the benefit of all residents.	Yes	We do look beyond the circumstances of the complainant and identify the complaint and how this impacts on residents as a whole. Appreciative enquiries and customer journey mapping has been carried out in areas where complaints have been raised and service failings have been identified.
6.7	In some cases, a resident may have a legal entitlement to redress. The landlord should still offer a resolution where	Yes	We do seek advice from our Legal Services on the wording to use in complaint resolution where there may be a legal entitlement to redress alongside a complaint, e.g. where a disrepair claim may have been made at the same time as a complaint.

	possible, obtaining legal advice as to how any offer of resolution should be worded.		
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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.	Partial	The Annual Report 2023 is scheduled for publication in September 2023 and provides learning from complaints. Further information on complaints is provided in the tenant newsletter. Planned activity will provide that learning and improvements are publicised on the Council's website. Complaints performance and learning is reported to the Housing & Homeless Panel (of the Scrutiny Committee).

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	There is an elected member of the Cabinet with responsibility for housing overall. Complaint handling performance is reported to the Housing and Homelessness Panel (of the Scrutiny Committee) which in turn is reviewed by the Scrutiny Panel and the Council.
7.4	As a minimum, governing bodies should receive: <ul style="list-style-type: none"> Regular updates on the volume, categories and outcome of complaints, alongside complaint handling performance including compliance with the Ombudsman's orders Regular reviews of issues and trends arising from complaint handling, The annual performance report produced by the Ombudsman, where applicable Individual complaint outcomes where necessary, including where the Ombudsman made findings of severe maladministration or referrals to regulatory bodies. The implementation of management responses should be tracked to ensure they are delivered to agreed timescales. The annual self-assessment against the Complaint Handling Code for scrutiny and challenge. 	Yes	Complaint handling performance is reported to the Housing and Homelessness Panel (of the Scrutiny Committee) which in turn is reviewed by the Scrutiny Panel and the Council.
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.	No	Further statistical data is required to enable detailed analysis. With day-to-day repairs, there is insight into trends regarding complaint themes, trades and actions/behaviours to drive improvement and satisfaction.

7.6	<p>Landlords should have a standard objective in relation to complaint handling for all employees that reflects the need to:</p> <ul style="list-style-type: none"> • have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments. • take collective responsibility for any shortfalls identified through complaints rather than blaming others. • act within the Professional Standards for engaging with complaints as set by the Chartered Institute of Housing. 	Yes	As a landlord we work collaboratively with other services and this is supported by having a Customer Care & Complaints Officer, who ensures positive cooperation between teams and service areas.
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Section 8 - Self-assessment and compliance

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
8.1	Landlords must carry out an annual self-assessment against the Code to ensure their complaint handling remains in line with its requirements.	Yes	As a landlord, we will commit to carrying out a detailed annual self-assessment against to code to ensure our complaint handling remains in line with the requirements.
8.2	Landlords must also carry out a self-assessment following a significant restructure and/or change in procedures.	Yes	As a landlord, we will adhere to this requirement as a result of a proposed restructure or procedure change.
8.3	<p>Following each self-assessment, a landlord must:</p> <ul style="list-style-type: none"> • report the outcome of their self-assessment to their governing body. In the case of local authorities, self-assessment outcomes should be reported to elected members. • publish the outcome of their assessment on their website if they have one, or otherwise make accessible to residents. • include the self-assessment in their annual report section on complaints handling performance 	No	<p>The self-assessment 2023 has been published on the Council's website.</p> <p>The Annual Report 2023 is to be published in September 2023 and will contain links to the self-assessment.</p> <p>The self-assessment will be reported to the Housing and Homelessness Panel (of the Scrutiny Committee) which in turn is reviewed by the Scrutiny Panel and the Council.</p>