

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	The recommended universal definition of a complaint is included within the Complaints Policy and Complaints Resolution Procedure.
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	The Complaints Policy and Complaint Resolution Procedure advise that the complainant does not have to use the word “complaint” when expressing dissatisfaction. A third party representative e.g. social worker, next of kin can act on a resident’s behalf if written consent has been provided by the resident in line with UK GDPR
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	Complaints will be logged within the complaints tracker folder as “open” if further enquiries are required. The relevant department Case Manager will then gather all available information to make an informed decision on the best course of action to resolve the matter.

1.7	A landlord must accept a complaint unless there is a valid reason not to do so.	Yes	All complaints will be accepted unless the matter being raised is not covered under the Complaints Policy section 5.10
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	<p>Examples of matters not considered to be a complaint:</p> <ul style="list-style-type: none"> • A request for a service, such as the first report of a repair • Reports of anti-social behaviour or nuisance • Where legal or regulatory action has already been taken and a determination made • Insurance claims and appeals including damage to personal possessions and personal injury accidents which should be referred to the relevant insurers
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	If a complaint is not accepted a detailed explanation will be provided within 10 working days "stage one". The Complaints Resolution Procedure includes information on how to complain to a regulatory body (Housing Ombudsman Scheme) if a resident is dissatisfied with the response provided.

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	Where an issue can be quickly resolved it will be recorded on the CRM. A works order will be created for first service requests as these are not service failures. Failure to respond to a service request and/or dissatisfaction with the outcome of a general enquiry, will result in the issue being escalated to a complaint.
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	Information is not currently included in the survey feedback forms on how residents can make a complaint if they are dissatisfied. ACTION: Include how to make a complaint section on all survey feedback forms.

Section 2 - Accessibility and awareness

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
2.1	Landlords must make it easy for residents to complain by providing different channels through which residents can make a complaint such as in person, over the telephone, in writing, by email and digitally. While the Ombudsman recognises that it may not be feasible for a landlord to use all of the potential channels, there must be more than one route of access into the complaints system.	Yes	Residents can make a complaint using a range of channels including email, phone, in writing, face to face.
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	The Complaints Policy and Complaints Resolution Procedure are available to view on-line, can be sent as a PDF or a paper copy can be posted on requested. The complaint stages and expected response timeframes are outlined within the Complaints Policy/Complaints Resolution Procedure.
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	Information on complaints can be found on the website [insert link].
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	Our Equality & Diversity Policy sets out how we will comply with the Public Sector Equality Duty under the Equality Act 2010.
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.	Partially	The Complaints Policy, Resolution Procedure and Handling Code is available online [insert link]. Action: Complaints Policy, Resolution Procedure and Handling Code to be added to residents' sign up pack

2.7	Landlords must provide residents with contact information for the Ombudsman as part of its regular correspondence with residents.	Yes	When complaints are received, complainants are provided with contact information for the Housing 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	Complaints Policy and Complaints Resolution Procedure is provided as part of the complaint acknowledgment both contain information of how to refer concerns to the Housing Ombudsman

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.	No	The Complaints Policy/Resolution Procedure does not currently permit formal complaints to be accepted through social media channels as these platforms are not continuously monitored, especially outside normal working hours. Residents that raise concerns through this channel will be provided with contact details for the Customer Service Team.

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	Directors are responsible for the overall effective operation of the Complaints Procedure within their areas of responsibility. Each Director will nominate a Team Manager / Leader as a Case Manager. The Case Managers are responsible for ensuring that complaints are dealt with in accordance with the Complaints Policy and Resolution Procedure e.g. acknowledgment, log, investigate, respond – stage one
3.2	...the complaint handler appointed must have appropriate complaint handling skills and no conflicts of interest.	Yes	Case Managers have completed training with providers such as Arla, Skills Network, ACAS to gain knowledge of the appropriate ways to manage complaints and residents that are dissatisfied with the service received.

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	<p>Case Managers assigned to complaints have full authority and autonomy to act on behalf of the business. Support from staff at all levels within all departments helps to ensure complaints are resolved within the recommended time frames.</p> <p>Resident feedback and continuous monitoring show that complaints are dealt with in a fair and honest manner. Learnings review meetings are held at a senior level.</p> <p>Case Managers deal with distressed and upset residents in a calm and respectful manner, it is the best interest of all involved to resolve any complaints when they are reported if possible</p>

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 logged at stage one of the complaints procedure within five days of receipt.	Yes	Once a complaint is received by the Customer Service Team it is issued to the relevant departments Case Manager. The complaint is logged on the complaint's tracker as "Active" and a folder is created to record any supporting documentation. All communication is also added to the Customer Relationship Management system (CRM) to advise other staff members of the current complaint status and what action has been taken to resolve the matter. Acknowledgments are sent within 5 working days of receipt.

4.2	Within the complaint acknowledgement, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. If any aspect of the complaint is unclear, the resident must be asked for clarification and the full definition agreed between both parties.	Yes	<p>The acknowledgement will name the Case Manager responsible for investigating the complaint, and the target date for response. If the basis of the complaint is not evident or clear, the Case Manager will contact the complainant to clarify their complaint and then decide how this should be taken forward.</p> <p>Acknowledgment and Stage Response templates “checklists” have been created to ensure that required elements are incorporated in all responses.</p>
4.6	A complaint investigation must be conducted in an impartial manner.	Yes	If a complaint is about a Case Manager, their line manager will investigate the complaint and respond to the resident.
4.7	<p>The complaint handler must:</p> <ul style="list-style-type: none"> • deal with complaints on their merits • act independently and have an open mind • take measures to address any actual or perceived conflict of interest • consider all information and evidence carefully • keep the complaint confidential as far as possible, with information only disclosed if necessary to properly investigate the matter. 	Yes	This is reflected in the Complaints Policy section 5.0
4.11	Landlords must adhere to any reasonable arrangements agreed with residents in terms of frequency and method of communication	Yes	<p>We are mindful that some of our residents may have additional needs. Appropriate support will be provided where possible.</p> <p>Some of these considerations are noted below:</p> <ul style="list-style-type: none"> • Provide a large print version of the complaints policy/procedure and requested documentation. • Consider if the complainant requires assistance from a translator, social

			<p>worker, family member or friend.</p> <ul style="list-style-type: none"> • House bound complainants may require a home visit to discuss their concerns • Case Managers are aware additional time may be required to explain the process and what action will be taken to try and resolve a complaint.
4.12	<p>The resident, and if applicable any staff member who is the subject of the complaint, must also be given a fair chance to:</p> <ul style="list-style-type: none"> • set out their position • comment on any adverse findings before a final decision is made. 	Yes	<p>The Case Manager may at the request of the complainant or staff member, reconsider their decision against any additional information provided by the complainant. Stage one response time of 10 working days will apply.</p>
4.13	<p>A landlord must include in its complaints policy its timescales for a resident to request escalation of a complaint</p>	Yes	<p>The Complaints Policy states that other than in exceptional circumstances, which includes complaints referred to by the Housing Ombudsman, we will not investigate complaints more than six months after the cause of complaint has arisen.</p>

<p>4.14</p>	<p>A landlord must not unreasonably refuse to escalate a complaint through all stages of the complaint procedure and must have clear and valid reasons for taking that course of action. Reasons for declining to escalate a complaint must be clearly set out in a landlord's complaints policy and must be the same as the reasons for not accepting a complaint.</p>	<p>Yes</p>	<p>The complainant will be provided with a full explanation if a complaint is not escalated through all stages. Reasons that a complaint may not be accepted are outlined in section 5.10 of the Complaints Policy. In addition, the following examples may result in a complaint not being escalated.</p> <ul style="list-style-type: none"> • a satisfactory explanation has been provided by the complaints team. • the complainant's conduct causes reason for concern • the complaint concerns a business decision and/or action which is in accordance with legislation and/or policy and procedure <p>If the complainant remains dissatisfied, they will be advised of their right to complain to the Housing Ombudsman.</p>
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4.15	A full record must be kept of the complaint, any review and the outcomes at each stage. This must include the original complaint and the date received, all correspondence with the resident, correspondence with other parties and any reports or surveys prepared.	Yes	All formal complaints and correspondence are recorded on a complaints tracker. A record of the complaint is also logged on our CRM.
4.18	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives when pursuing a complaint.	Yes	This is included in the Anti-Social Behaviour Policy section 5.0

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	The Complaints Policy sets out what is classed as a complaint and when we will not investigate a matter as a complaint.
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	Ideally complaints will be resolved informally at first contact, where this is not possible the Case Manager will be transparent about what the expected outcome will be and access if urgent action is required e.g. health and safety concern.
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	Representatives can act on a resident's behalf if consent has been given by the resident in line with UK GDPR. Delay in consent being provided may result in a delay in response.
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 complaints response will detail the legal obligations of both parties, we also recommend residents seek their own legal advice.

4.9	Communication with the resident should not generally identify individual members of staff or contractors.	Yes	Where there is a complaint about an employee or sub-contractor the person whom the complaint refers to will not be identified in line with UK GDPR requirements. In some instances the individual may already be known to the complainant e.g. the Property Manager or Income Management Officer.
4.10	Landlords should keep residents regularly updated about the progress of the investigation.	Yes	Expected timescales for each complaint stage is outline within the Complaint Policy. The complainant will be advised if additional time is required to investigate the matter.
4.16	Landlords should seek feedback from residents in relation to the landlord's complaint handling as part of the drive to encourage a positive complaint and learning culture.	No	The tenancy audit schedule will commence in April 2023 in line with the new tenancy satisfaction measures expected to be introduced by the Regulator of Social Housing.
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	We view complaints as an opportunity to improve service delivery. Staff have received training on the importance of complaints as a learning opportunity, and the Customer Service Team attend team meetings on request to discuss the lessons learnt.
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	As per 4.18 ASB Policy section 5.0 refers to unacceptable and persistent behaviour.

Section 5 - Complaint stages

Mandatory 'must' requirements

Stage 1

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.1	Landlords must respond to the complaint <u>within 10 working days</u> of the complaint being logged. Exceptionally, landlords may provide an explanation to the resident containing a clear timeframe for when the response will be received. This should not exceed a further 10 days without good reason.	Yes	The Complaints Procedure outlines the expected response timescale for stage one. If a complaint cannot be resolved within the agreed timescales, the resident will be updated with the likely timescales for response and an explanation for the cause of delay.
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	An informal resolution and apology should be immediate where possible. If a complaint is upheld or partially upheld, information is given the actions that will be taken to address the issue.

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	The stage one letter response template instructs the Case Manager to detail reasons for the decision by setting out the facts and the conclusions regarding all points raised.
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	The stage one response letter template includes the required information.

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	This information is included in the Complaints Resolution Procedure, stage two
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	This is part of the Complaints Policy and included within the guidance on complaint handling.
5.11	Landlords must only escalate a complaint to stage two once it has completed stage one and at the request of the resident.	Yes	Complaints are only escalated to stage two once stage one has been completed and at the request of the resident.

5.12	The person considering the complaint at stage two, must not be the same person that considered the complaint at stage one.	Yes	Case Manager stage one Senior Management stage two
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	This information is included in the Complaints Policy section 5.6 and the Complaint Resolution Procedure stage two
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	A copy of the Complaints Policy and procedure is sent with every acknowledgment of complaint.

Stage 3

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

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

Stage 1

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.2	If an extension beyond 20 working days is required to enable the landlord to respond to the complaint fully, this should be agreed by both parties.	Yes	If it is not possible to provide the complainant with a full response within the target timeframe, this will be discussed with the complainant and a revised timeframe will be given.
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	Should the complainant disagree with the timeframe extension, the Case Manager will provide the Housing Ombudsman's contact details so the complainant can seek further advice or challenge the proposed timeliness of the response.
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	Information, including previous reports e.g. repair works orders, property inspection records are considered during the complaint investigation.
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	Any additional complaints raised during a complaint investigation will be incorporated into the original complaint and recorded on the complaints log and CRM.

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	If it is not possible to provide the complainant with a full response within the target timeframe this will be communicated with the complainant and a revised timeframe will be given.
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	Should the complainant disagree with the timeframe extension, the Case Manager will advise the complainant to refer the matter to the Housing Ombudsman's for further advise or challenge the proposed timeliness of the response.

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	Stage three of the Complaints Resolution Procedure is where the complaint is referred to the Housing Ombudsman to investigate.
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	Stage three of the Complaints Resolution Procedure is where the complaint is referred to the Housing Ombudsman to investigate.

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	Our Complaints Resolution Procedure always outlines actions taken and actions to be taken to put things right. During the year there are regular learning from complaints' meetings and root cause analysis investigations.
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	The Compensation, Remedies and Reimbursement Policy sets out a range of remedies that may be considered
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	All resolution letters clearly outline our proposed remedy, where compensation is agreed, this is followed through for payment. However, if further works are required a works order will remain open on the CRM with scheduled updates until completed.
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 considered during the investigation of the complaint at each stage, and clarified within the Compensation, Remedies and Reimbursement Policy.

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	Learning from complaints has been incorporated into our regular reporting to the Executive Leadership team.
6.7	In some cases, a resident may have a legal entitlement to redress. The landlord should still offer a resolution where possible, obtaining legal advice as to how any offer of resolution should be worded.	Yes	Legal advice is obtained as and when required.

Section 7 - Continuous learning and improvement

Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
7.2	Accountability and transparency are integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints in their annual report and more frequently to their residents, staff and scrutiny panels.	Yes	Learning from complaints has been incorporated into our regular reporting to the Executive Leadership team which will be included in our annual report. Learnings form part of the annual staff development courses.

Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
7.3	A member of the governing body should be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This role will be responsible for ensuring the governing body receives regular information on complaints that provides insight to the governing body on the landlord's complaint handling performance.	Yes	The Operations Director who is also a Board member leads on complaints and provides the board with a quarterly report on complaint handling performance and learnings.
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	This information is reported to the Executive Leadership team and the Board as appropriate.

7.5	Any themes or trends should be assessed by senior management to identify potential systemic issues, serious risks or policies and procedures that require revision. They should also be used to inform staff and contractor training.	Yes	Complaint themes and trends are reviewed daily by our Head of Customer Service Manager, who reports regularly to our Executive Leadership Team. Quarterly meetings take place to review lessons learnt and to identify / action improvements required.
7.6	Landlords should have a standard objective in relation to complaint handling for all employees that reflects the need to: <ul style="list-style-type: none"> • 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	This standard objective is in place for all staff who handle complaints, with a more general objective is in place for staff across the organisation.

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	This is the first self-assessment carried out and published (October 2022). Future annual self-assessments have been scheduled.
8.2	Landlords must also carry out a self-assessment following a significant restructure and/or change in procedures.	Yes	No recent changes to structure or procedures.
8.3	Following each self-assessment, a landlord must: <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 	Yes	This self-assessment is being reported to Spaces Board in October 2022. The self-assessment will be published on the corporate website. The self-assessment will be included in the Housing Service's annual report <u>for 2023</u> .