

Winchester

City Council

Winchester City Council Self-Assessment June 2024

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.

<https://www.winchester.gov.uk/housing/complaints>

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	Complaints Policy website	We have adopted the definition of a complaint as set out in the Complaint Handling Code. This is set out under 'Definition of a complaint' section of our housing complaint policy and under the complaints section on our website.
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	Complaints Policy Procedure Website	This is set out in our policy and procedure under 'Definition of a complaint' section that the word 'complaint'. 'Complaints through a representative' section set out how complaints are handled via a representative including what permissions are required.
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 recorded,	Yes	Complaints Policy Procedure website	This is set out in our complaints policy under 'how will the complaint be handled' section and the 'complaints process' section of our procedure. There is information on our website under the 'what should I

	monitored and reviewed regularly.			<p>do if I am unhappy with one of your services' section.</p> <p>We encourage our customers to engage with us to resolve an early resolution as detailed in section 8 of our housing complaints policy.</p> <p>If customers choose to log a local resolution stage (before a formal stage 1 complaint is raised), we communicate how they can raise a complaint at any time during the local resolution. This is outlined in section 8 of the complaints policy.</p>
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	<p>Complaints Policy</p> <p>Procedure</p>	<p>'How will the complaint be handled' section of the policy sets out next stages to raising a complaint if dissatisfied with response to the handling of a service request.</p> <p>Staff will continue to try to resolve the issues whilst a complaint is being investigated. This is set out in our procedure.</p>
1.6	An expression of dissatisfaction with services made through a survey is not defined as a complaint, though	Yes	Online surveys details on how to raise a complaint	Surveys are undertaken and reviewed by our tenant involvement team who will

	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.			signpost residents to the complaints process should they wish to pursue a complaint. How to raise a complaint information is included on our surveys to promote this to residents.
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Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.1	Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint, they must be able to evidence their reasoning. Each complaint must be considered on its own merits	Yes	Complaints Policy	The policy sets out what is and isn't a complaint.
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 	Yes	Complaints Policy Procedure	The policy and procedure set out the circumstances in which a matter will not be considered as a complaint or escalated. Complaint response letters set out the circumstances in which a matter will not be

	<p>occurred over twelve months ago.</p> <ul style="list-style-type: none"> • Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. • Matters that have previously been considered under the complaints policy. 		Response letters	considered as a complaint or escalated. The right to take the decision to the Housing Ombudsman is included in letters along with contact details.
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	Procedure	<p>Need to update our procedure to state that we will accept complaints made within twelve months (currently states six) of the complaint incident set out.</p> <p>Discretionary decisions are referred to in the exclusions section of the procedure.</p>
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	<p>Complaints Policy</p> <p>Procedure</p>	<p>'What is not a complaint' section of the policy sets this out.</p> <p>This is set out under the exclusions section of the procedure.</p>

2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes		<p>Each complaint received is reviewed and investigated before making a decision to exclude.</p> <p>Procedure updated. Training to be rolled out to staff.</p>
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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	<p>Complaints Policy</p> <p>website</p>  <p>164_compliment_complaint-poster-web</p>	<p>Our Complaints policy refers to the Equality Act 2010 under the 'statutory/regulatory requirements section'. Complaints can be raised through several channels including email, online, in person, social media, resident app and in writing. How to make a complaint is set out in section 5 of the complaints policy.</p> <p>Articles on how to raise a complaint are included in the housing newsletter, annual</p>

				<p>reports, surveys, and social media channels. Complaint flyers are displayed on scheme noticeboards.</p> <p>Our policy sets out how a complaint can be made through a representative.</p>
3.2	Residents must be able to raise their complaints in any way and with any member of staff. All staff must be aware of the complaints process and be able to pass details of the complaint to the appropriate person within the landlord.	Yes	Complaints Policy Procedure	Information on how residents can make a complaint is included in the staff housing induction 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 sign that residents are unable to complain.	Yes	Website	We have actively advertised and communicated the housing complaints service. Performance data is published within the residents annual report and on the website. Further work to develop the performance information and insight data around complaints is to be carried out.
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	Yes	Complaints Policy	Our complaints policy is available electronically on our website and via email. It is also available in printed form and by post. It can be

	timeframes for responding. The policy must also be published on the landlord's website.		website	made available in other formats, such as another language or braille, when requested. Accessible format information is published on our website.
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	Complaints Policy Website	The housing policy is published on the website and includes how the policy is published. Under 'Housing complaint handling code' section of the policy we set out how we will publicise details of the complaints policy.
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any meeting with the landlord.	Yes	Complaints Policy	This is detailed under the 'complaints through a representative' section of our complaints policy.
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	Complaints Policy Website Stage 1 and Stage 2 Template letters	This is set out under 'Next steps' section of our policy. Housing Ombudsman section, documents and links on website. Information included in Stage 1 and 2 response

				letters.
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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	<ul style="list-style-type: none"> • Councils Customer Service Team • Dedicated Housing Performance Officer. • CX Office -Executive Assistants 	<p>Housing Performance officer and the Executive Assistants fulfil this role in addition to other duties.</p> <p>The customer service team are a point of contact when liaising with the Housing Ombudsman, they will then pass on to the relevant team within the council.</p>
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		Complaints Officer has access to staff to facilitate the resolution of complaints.
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	<p>Complaints policy</p> <p>Procedure</p>	Policy and procedure sets out how we handle complaints and the timescales for responding to them. All staff that will be handling complaints have an induction and training for complaint handling.

				Staff handling complaints are aware of the importance of these. Further work to be done around complaint handling- captured on improvement plan.
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Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.	Yes	Complaints Policy Website Survey results	One complaints policy in place. Service delivery continues to be a priority. We survey residents who have been through our complaints process to gather feedback and use this to inform any service improvements or training development.
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	Yes	Complaints Policy website	We encourage a proactive, early resolution approach to preventing and handling complaints. We have a two stage

	confusion.			approach to dealing with complaints as detailed in our policy.
5.3	A process with more than two stages is not acceptable under any circumstances as this will make the complaint process unduly long and delay access to the Ombudsman.	Yes	Complaints policy Procedure	We have a two stage approach to dealing with complaints set out in our policy and procedure.
5.4	Where a landlord's complaint response is handled by a third party (e.g. a contractor or independent adjudicator) at any stage, it must form part of the two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes.	Yes	Complaints Policy	Any complaints about our contractors are handled through the councils two stage complaints process which remains the responsibility of the WCC investigating manager to own and manage through to resolution, requiring cooperation of contractors to resolve. Further training around this required due to flux and change of staff.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Complaints Policy	Any complaints about contractors are handled through the Complaints 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	Yes	Complaints Policy Procedure	This is set out in our policy and procedure what needs to be included in stage 1 and 2 response letters.

	to this as “the complaint definition”. If any aspect of the complaint is unclear, the resident must be asked for clarification.			
5.7	When a complaint is acknowledged at either stage, landlords must be clear which aspects of the complaint they are, and are not, responsible for and clarify any areas where this is not clear.	Yes	Complaints Policy Procedure	Included in procedure and outlined in response letters. Where we require clarification we ask for this from the complainant.
5.8	At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully. 	Yes	Procedure	Our procedure sets out how we will handle complaints and where we are required to seek clarification. From acknowledgement stage we set out what the complaint is. Information is gathered and contact with the complainant is made where further clarification is required as part of the investigation.
5.9	Where a response to a complaint will fall outside the timescales set out in this Code, the landlord must agree with the resident suitable intervals for keeping them informed about their complaint.	Yes	Complaints Policy Procedure Survey results	This is outlined in our policy, under section 8, paragraph 6. Our complaints procedure covers this under extending response timescales section. Notes can be captured on

				our complaints management system around this.
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	Complaints Policy Procedure	Equality Act 2010 is included within our policy under 'statutory/regulatory' section. The 'meeting diverse needs' section of the policy sets out how to contact us about particular needs.
5.11	Landlords must not refuse to escalate a complaint through all stages of the complaints procedure unless it has valid reasons to do so. Landlords must clearly set out these reasons, and they must comply with the provisions set out in section 2 of this Code.	Yes	Complaints Policy	This is outlined in 'how will the complaint be handled' section of the complaints policy.
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	Procedure	All correspondence is stored in our electronic management system in the property file. There is a notes section on the complaints system where further information can be captured. Further training for staff needed on record keeping.
5.13	Landlords must have processes in place to ensure a complaint can be remedied	Yes	Complaints Policy	Action to resolve and remedy the complaint will be

	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.		Procedure	taken during any stage of the complaints process. Need to update policy and procedure to provide clarity on remedying a complaint at any stage of the process. Procedure refers to dealing with issues at a local level. Need to update this section further.
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	Persistent complaints policy Website	Our Persistent complaints policy sets out when this policy should be applied and how any restrictions are reviewed.
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.	No		This policy is under review and the draft policy does meet this provision however our current approved policy does not set this out explicitly. An Equality impact assessment has been completed in April 2024. Consideration will be given to the Equality Act when making any decisions to restrict contact.

Section 6: Complaints Stages

Stage 1

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.1	Landlords must have processes in place to consider which complaints can be responded to as early as possible, and which require further investigation. Landlords must consider factors such as the complexity of the complaint and whether the resident is vulnerable or at risk. Most stage 1 complaints can be resolved promptly, and an explanation, apology or resolution provided to the resident.	Yes	Complaints Policy website	'How will the complaint be handled' section of the policy we explain how the complaint will be handled.
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <u>within five working days of the complaint being received.</u>	Yes	Complaints Policy Procedure Website	Outlined under 'how the complaint will be handled' section of the policy'. Template letters for acknowledging a complaint are provided within the procedure. The Complaints performance is monitored by the Performance and Projects Officer to ensure compliance with this. There is a weekly report sent to

				anyone allocated a complaint.
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Complaints Policy Procedure website	'How will the complaint be handled' section outlines this in the policy. This is set out in the procedure. Trigger emails are sent to the allocated complaints manager to notify them that action is needed.
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	Complaints Policy Procedure	How will the complaint be handled' section outlines this in the policy. Where a complaint has been identified as more complex a holding letter is sent to the complainant to advise of an extension of the timescale as set out in our policy and procedure.
6.5	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes	Complaints Policy Procedure Letters	How will the complaint be handled' section outlines this in the policy. Letters provide contact details for Housing Ombudsman. This information is also available on our website.
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	Yes	Complaints Policy	Response to complaints and timescales for this are set out in the complaints policy under 'How will the

	the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.		Procedure	complaint be handled' section. Training and awareness of complaints handling is being reviewed and will be rolled out to staff. Tracking actions through to completion is set out in our procedure.
6.7	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	Procedure	What to include in responding to complaints is set out in our procedure under the 'responding to a complaint in full section'. Complaint responses are reviewed by a Service Lead for stage 1 complaints.
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	Procedure	Updated in procedure. Refreshed training for staff to be delivered.
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language:	Yes	Procedure	Included in our procedure under 'responding to a complaint in full' section.

	<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. 			
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Stage 2

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.10	If all or part of the complaint is not resolved to the resident's satisfaction at stage 1, it must be progressed to stage 2 of the landlord's procedure. Stage 2 is the landlord's final response.	Yes	Complaints Policy Procedure website	This is set out in the 'How will the complaint be handled' section of our complaints policy. Information is available on our website.
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	Complaints Policy Procedure	This is set out in the 'How will the complaint be handled' section of our complaints 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	Yes	Complaints Policy (draft) Procedure	This has been changed in our complaints policy, with effect from June 2024.

	understand why a resident remains unhappy as part of its stage 2 response.			Our procedure sets out that residents do not need to explain their reason for requesting a stage 2 consideration.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Procedure	The Corporate Director responds to all stage 2 complaints.
6.14	Landlords must issue a final response to the stage 2 within 20 working days of the complaint being acknowledged.	Yes	Complaints Policy Procedure Website	This is set out in the 'How will the complaint be handled' section of our complaints policy. Our policy is to respond within 10 working days which is being reviewed.
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	Complaints Policy Procedure	This is set out in the 'How will the complaint be handled' section, paragraph 6 of our complaints policy and under section 'extending response timescales' in our procedure.
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	Complaints Policy Procedure	This is set out in the 'How will the complaint be handled' section, of our complaints policy and under section 'extending response timescales' in our procedure.

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	Procedure	Response to complaints and timescales for this are set out in the complaints policy under 'How will the complaint be handled' section. The Executive Assistant send reminders to staff to ensure all outstanding actions are being addressed. Further training on complaints handling to be rolled out to staff.
6.18	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	Procedure	What to include in responding to complaints is set out in our procedure under the 'responding to a complaint in full section'. Complaint responses are reviewed by a corporate Head of Service for stage 2 complaints.
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered	Yes	Procedure	Included in our procedure under 'responding to a complaint in full' section.

	<p>f. to put things right; details of any outstanding actions; and</p> <p>g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.</p>			
	<p>Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.</p>	<p>Yes</p>	<p>Procedure</p>	<p>All stage 2 complaints are escalated to Directors to review and sign off after managers have investigated the complaint.</p>

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; 	<p>Yes</p>	<p>Complaints Policy</p> <p>Procedure</p> <p>Website</p>	<p>This is set out in our procedure under 'remedy types' and 'responding to a complaint in full' sections. A lessons learnt log records learning from complaints which is published on our website and included in our performance reporting to boards. Our policy section 'learning from complaints' sets out how we report any service change made as a result of a complaint.</p>

	<ul style="list-style-type: none"> • Amending a record or adding a correction or addendum; • Providing a financial remedy; • Changing policies, procedures or practices. 			
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Procedure	This is set out in our procedure under 'remedy types' and 'responding to a complaint in full' sections
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	Procedure Response letters	This is set out in our procedure under 'remedy types' and 'responding to a complaint in full' sections, outlining what needs to be included in the complaints response letter.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Procedure	Regular updates to staff, via staff briefings and training

Section 8: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. 	No	<p>Website</p> <p>TSM survey findings report</p>	<p>Complaints Performance is published on the website under the 'How are we performing' section. Complaints performance is published in the annual report. We also have complaints performance information from our TSM survey.</p> <p>There is work needed to develop and ensure we are able to evidence and track service improvements as a result of complaints, some of this is part of our system review.</p>

8.2	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 response to the report must be published alongside this.	No	Website	<p>Quarterly updates to Councillors, Services leads and Corporate Directors and resident groups are provided on complaints performance. Cabinet committee housing.</p> <p>We are unable to post a response from the governing body until after the election period. This will be actioned post election.</p>
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes		We aim to carry out self-assessments when required.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes		If we were asked, we would include this information on our website and in our complaints annual report
8.5	If a landlord is unable to comply with the Code due to exceptional circumstances, such as a cyber incident, they must inform the Ombudsman, provide information to residents who may be affected, and publish this on their website Landlords must provide a timescale for returning to compliance with the Code.	Yes		Procedure to be updated to include this provision.

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	Lessons learnt log Housing Ombudsman investigations	There is a lessons learnt log to capture these across all complaints where trends, common complaint issues can be identified and highlight where service improvements are needed. Introducing a complaints handling weekly meeting with staff responsible for investigating complaints to collaborate on complaints performance trends and lessons learnt.
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	Reports are discussed at team meetings and resident groups	Feedback from complaints is gathered through surveys.
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	Website	We share this information with our service delivery groups and in our annual report. Performance information and lessons learnt are reported and published on our website.

				Our resident engagement structure is going through some changes with recruitment to our revised TACT (Tenant and Council Together) and New Consumer Standards focus groups underway. These groups will play an integral role in scrutiny of our complaints handling.
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		Corporate Head of Housing and Housing Policy and Projects Manager are accountable for this. This is to be developed now the Housing Policy and Projects Manager has been appointed.
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').	No		An appointed MRC will be in place following the election period and this will be agreed at the next available Cabinet committee housing meeting post election.
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	Yes	Quarterly performance on complaints	An appointed MRC will be in place following the election period and the formulation of our TACT board

	person must have access to suitable information and staff to perform this role and report on their findings.			
9.7	<p>As a minimum, the MRC and the governing body (or equivalent) must receive:</p> <p>a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;</p> <p>b. regular reviews of issues and trends arising from complaint handling;</p> <p>c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and</p> <p>d. annual complaints performance and service improvement report.</p>	No	Website	<p>Quarterly updates to Councillors, Services leads and Corporate Directors and resident groups are provided on complaints performance.</p> <p>The regular reporting of complaints performance as set out in this provision will be a standing agenda item at meetings to include all performance information set out in this standard.</p>
9.8	<p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <p>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</p> <p>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</p>	Yes		<p>Yes we do achieve this at a team and local level, discussed at teams meetings.</p> <p>No one universally agreed objective currently in place. We will review this.</p>

	c. act within the professional standards for engaging with complaints as set by any relevant professional body.			
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