

Self-assessment form against housing ombudsman complaint handling code

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Appendix A: Self-assessment form

This self-assessment form should be completed by the complaints officer, and it must be reviewed and approved by the landlord's governing body at least annually.

Once approved, landlords must publish the self-assessment as part of the annual complaints' performance and service improvement report on their website. The governing body's response to the report must be published alongside this.

Landlords are required to complete the self-assessment in full and support all statements with evidence, with additional commentary as necessary.

We recognise that there may be a small number of circumstances where landlords are unable to meet the requirements, for example, if they do not have a website. In these circumstances, we expect landlords to deliver the intentions of the code in an alternative way, for example by publishing information in a public area so that it is easily accessible.

Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG rating
1.2	A complaint must be defined as: '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.'	Yes	<ul style="list-style-type: none"> New web pages have been built within housing section on website for complaints 	<ul style="list-style-type: none"> Was written in Oct 2024 into the new corporate policy Web pages updated 	Green
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	<ul style="list-style-type: none"> Complaints submitted by third parties are looked at in line with the complaints policy as long as GDPR requirements are met Discusses with resident on receipt of the complaint and establishing whether complaint or service request 	<p>To be looked at as a specific as issues very and clarity needed around service request and complaint.</p> <p>'Does our definition of dissatisfaction reflect this'</p> <p>All officers are encouraged to direct customers to our complaints policy when they seem dissatisfied with the service.</p>	Green
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, monitored and reviewed regularly.	Yes	<ul style="list-style-type: none"> Do record and report service requests New IT system will enable monitoring Service requests are not closed down until completed Review process in place to ensure requests are completed in timely fashion Service requests are to be completed within 10 working days 	No comment	Green

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG rating
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	<ul style="list-style-type: none"> Details provided during initial phone call, letter advising of the stage 1 reference number 	No comment	Green
1.6	An expression of dissatisfaction with services made through a survey is not defined as a complaint, though wherever possible, the person completing the survey should be made aware of how they can pursue a complaint if they wish to. Where landlords ask for wider feedback about their services, they also must provide details of how residents can complain.	Yes	<ul style="list-style-type: none"> ASB responses are recorded on spreadsheet which is sent for analysis Satisfaction levels are recorded on scorecard presented to SMT Tenant Engagement team will advise where necessary 	No Comment	Green

Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG Rating
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	<ul style="list-style-type: none"> Clearly outlined within policy reasons for not accepting a complaint Process in place to phone residents on receipt of complaint and this is recorded within caseworker 	No comment	Green
2.2	<p>A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> The issue giving rise to the complaint occurred over twelve months ago. Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. Matters that have previously been considered under the complaints policy. 	Yes	<ul style="list-style-type: none"> Clearly set out in current policy 	No comment	Green
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	<ul style="list-style-type: none"> Set out in current policy 	No Comment	Green

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG Rating
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	<ul style="list-style-type: none"> Set out in current policy 	No comment	Green
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	<ul style="list-style-type: none"> Handles complaints according to policy and procedure 	No Comment	Green

Section 3: Accessibility and awareness

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG Rating
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	Residents can complain by: <ul style="list-style-type: none"> • Phone • Website • Email • Paper forms available at customer service reception • In person speaking to field officers or reception • We use DL languages for translation verbal and written • DL languages also provide BSL 	No comment	Green
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	<ul style="list-style-type: none"> • All Complaint handlers are required to complete corporate complains handling training with a view of this being completed annually • Keeping a record of completion – monitoring process in place • Officers are also encouraged to register and complete training on the housing ombudsman's website 	No comment	Green

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG Rating
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	<ul style="list-style-type: none"> Number of complaints is reported monthly, reviewing lessons learnt, working with managers to record lessons learnt – taken to management meetings to review Trialling for a few months with housing but hoping to rollout across the council – to review end-May Residents can complain via phone, web, email or in person 	Quality audits to be reviewed to and shared across the wider service	Green
3.4	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the two-stage process, what will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord's website.	Yes	<ul style="list-style-type: none"> Complaint policy is published on Luton website and the comms guidance on accessibility has been met. The policy is also jargon free 	No comment	Green
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	<ul style="list-style-type: none"> Outlined on our web page 	No comment	Green
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	<ul style="list-style-type: none"> Policy encourages the use of advocacy and assistance for vulnerable tenants 	No comment	Green
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	<ul style="list-style-type: none"> Promoted via tenant newsletter On the website On our letters Our policy provides the housing Ombudsman's contact details 	<ul style="list-style-type: none"> This is available on our website and will be written into the new corporate complaints policy 	Green

Section 4: Complaint handling staff

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG Rating
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"> Complaints officers Corporate complaints team co-ordinate correspondence with the Ombudsman, monitor and report on complaints Allocated officers within teams to respond to complaints and they are supported by training and advice. 	No comment	Green
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	<ul style="list-style-type: none"> Can access staff at all levels 	No comment	Green
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	<ul style="list-style-type: none"> Currently working with staff to undertake training provided by Ombudsman and will monitor completion etc Working towards ensuring that lessons learnt are reviewed and managed appropriately for service improvement 	No comment	Green

Section 5: The complaint handling process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG Rating
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	<ul style="list-style-type: none"> Single corporate policy will be in place 	No comment	Green
5.2	The early and local resolution of issues between landlords and residents is key to effective complaint handling. It is not appropriate to have extra named stages (such as 'stage 0' or 'informal complaint') as this causes unnecessary confusion.	Yes	<ul style="list-style-type: none"> We have a two stage complaints procedure in place 	No comment	Green
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	<ul style="list-style-type: none"> We have two stage complaints policy in place 	No comment	Green
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	<ul style="list-style-type: none"> Complies because we do not outsource any part of our complaints to third party – however unclear in respect of contractors for housing repairs 	No comment	Green
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	<ul style="list-style-type: none"> We only currently follow-up with complaints raised directly with the council and within our remit 	No comment	Green

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG Rating
5.6	When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. The Code will refer to this as “the complaint definition”. If any aspect of the complaint is unclear, the resident must be asked for clarification.	Yes	<ul style="list-style-type: none"> This is in our standard letter templates 	No comment	Green
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	<ul style="list-style-type: none"> This is in our standard letter templates 	No comment	Green
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	<ul style="list-style-type: none"> Working practice in place to meet this requirement during initial phone calls Managers tend to come back if there is a conflict in which case complaint is assigned to someone else CLT has now approved this training as a mandatory requirement for complaint handlers. Regular briefing notes to complaint handlers 	No comment	Green
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	<ul style="list-style-type: none"> Template on system to produce holding letter which includes ombudsman’s information Customer is kept updated regarding timescales Timelines within policy Every phone call is recorded within caseworker 	No comment	Green

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG Rating
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	<ul style="list-style-type: none"> • Capability within caseworker to record reasonable adjustments but not actively reviewed • Does follow-up with customer, will do a home visit if necessary • All actions are recorded in caseworker • Adjustments are fed back to investigating officers 	No comment	Green
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	<ul style="list-style-type: none"> • Procedure in place which ensures that we meet this requirement as per our policy 	No comment	Green
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	<ul style="list-style-type: none"> • All is recorded on caseworker 	No comment	Green
5.13	Landlords must have processes in place to ensure a complaint can be remedied at any stage of its complaints process. Landlords must ensure appropriate remedies can be provided at any stage of the complaints process without the need for escalation.	Yes	<ul style="list-style-type: none"> • Working practice is that remedies are provided as soon as identified without the need to send complaint onto investigating officer • Staff empowered to resolve complaints • Compensation policy in place 	No comment	Green

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG Rating
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	<ul style="list-style-type: none"> This is now included in the corporate complaints policy 	No comment	Green
5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.	Yes	<ul style="list-style-type: none"> Currently takes advice regarding contact but will always ensure that contact can be made via one named person. This is subject to review not more than 6 months taking into account individual vulnerabilities. 	No comment	Green

Section 6: Complaints stages

Stage 1

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG Rating
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	<ul style="list-style-type: none"> Checks are made for vulnerability and complexity Vulnerability indicators on the system 	Complaints are reviewed on receipt. Measurable date evidence	Green
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaint's procedure within five working days of the complaint being received.	Yes	<ul style="list-style-type: none"> Acknowledges within 3 days currently Complaint is defined within the system and acknowledged 	No comment	Green
6.3	Landlords must issue a full response to stage 1 complaints within 10 working days of the complaint being acknowledged.	Yes	<ul style="list-style-type: none"> Complaints handling group meets fortnightly, this includes officers from across the service to deal with non-compliance. Cases are discussed and reviewed on a regular basis, and we can demonstrate improvements through the lessons learnt. 	Corporately 90% green 81% > amber 80% < red	Green

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG Rating
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	<ul style="list-style-type: none"> • Holding letters available through caseworker • Quality assurance to monitor the use of templates 	No comment	Amber
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	<ul style="list-style-type: none"> • Holding letter specify ombudsman contact information 	No comment	Green
6.6	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes	<ul style="list-style-type: none"> • Responses are sent when the solution to the complaint are known, and any ongoing work is specified • Responses include information on how resident to contact the compliance team if the solution has not been completed 	No comment	Green
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	<ul style="list-style-type: none"> • Templates are laid out in casework to meet this requirement • Corporate training reinforces the requirement to address all aspects of the complaint in the investigation and subsequent response. 	No comment	Green

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG Rating
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	<ul style="list-style-type: none"> We do upload additional issues into open case and open new cases where original complaint has been responded to already 	No comment	Green
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> a. the complaint stage b. the complaint definition c. the decision on the complaint d. the reasons for any decisions made e. the details of any remedy offered to put things right f. details of any outstanding actions; and g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response. 	Yes	<ul style="list-style-type: none"> Requirement is met through the response template used Quality audit is undertaken on closure of cases for lessons learnt Lessons learnt are fed back to management and training needs and service improvements are addressed Complaints about officers can be recorded in system and this is recorded As this is an area we understand is important, we are recruiting to a post that will include quality auditing across the service 	No comment	Green

Stage 2

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG Rating
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	<ul style="list-style-type: none"> Provided within template in caseworker 	No comment	Green
6.11	Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaint's procedure within five working days of the escalation request being received.	Yes	<ul style="list-style-type: none"> As above for stage 1 System templates adjusted 	No comment	Green
6.12	Residents must not be required to explain their reasons for requesting a stage 2 consideration. Landlords are expected to make reasonable efforts to understand why a resident remains unhappy as part of its stage 2 response.	Yes	<ul style="list-style-type: none"> Phones residents on receipt of stage two Complaint handlers do contact tenants if it is unclear why a review is required. 	No comment	Green
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	<ul style="list-style-type: none"> Currently written on acknowledgement and met 	No comment	Green
6.14	Landlords must issue a final response to the stage 2 within 20 working days of the complaint being acknowledged.	Yes	<ul style="list-style-type: none"> Complaints handling group set up across service to deal with non-compliance Complaints handling group meets fortnightly, this includes officers from across the service to deal with non-compliance. Cases are discussed and reviewed on a regular basis, and we can demonstrate improvements through the lessons learnt. 	No comment	Green

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG Rating
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	<ul style="list-style-type: none"> Complaints handling group set up across service to deal with non-compliance Service manager approval required for any extension to a stage 2 complaint. 	No comment	Green
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	<ul style="list-style-type: none"> Holding letter on system meets requirement 	No comment	Green
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	<ul style="list-style-type: none"> Responses are sent when the solution to the complaint are known, and any ongoing work is specified Responses include information on how resident to contact the compliance team if the solution has not been completed 	No comment	Green
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	<ul style="list-style-type: none"> Templates are laid out in caseworker to meet this requirement 	No comment	Green

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG Rating
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: <ul style="list-style-type: none"> a. the complaint stage b. the complaint definition c. the decision on the complaint d. the reasons for any decisions made e. the details of any remedy offered to put things right f. details of any outstanding actions; and g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied. 	Yes	<ul style="list-style-type: none"> • Requirement is met through the response template used 	No comment	Green
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	<ul style="list-style-type: none"> • Procedure is that senior manager investigates complaint in full involving all staff before responding • Adheres to the corporate policy 	No comment	Green

Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG Rating
7.1	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> • Apologising • Acknowledging where things have gone wrong • Providing an explanation, assistance or reasons • Taking action if there has been delay • Reconsidering or changing a decision • Amending a record or adding a correction or addendum • Providing a financial remedy • Changing policies, procedures or practices. 	Yes	<ul style="list-style-type: none"> • Response template meets requirement • Lessons learnt recorded in Caseworker and reported 	No comment	Green
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	<ul style="list-style-type: none"> • Covered within the complaint stage letters • There are guidance notes within the template to help the writer to consider and respond to all factors of the complaint and impact to the resident 	No comment	Green
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	<ul style="list-style-type: none"> • Specified in the response letter • IO will make contact with residents to set agreed timescales and include those within the response letter 	No comment	Green

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG Rating
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	<ul style="list-style-type: none"> All IOs have been provided with the HO Complaints Code of Practice All IOs have to undertake HO complaints handling training and compliance with this is monitored, reported, followed up 	No comment	Green

Section 8: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG Rating
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ol style="list-style-type: none"> The annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. 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 any findings of non-compliance with this Code by the Ombudsman the service improvements made as a result of the learning from complaints any annual report about the landlord's performance from the Ombudsman; and Any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. 	Yes	<p>Quarterly and annual report go to the tenant board and senior management team</p> <p>Housing Ombudsman reports go to the tenant board and senior management team</p> <p>Learning is identified and improvements made</p> <p>Annual reporting to overview and scrutiny with regular reporting to the MRC (Leader of the Council). Housing ombudsman decisions are reported to the councils monitoring officer with relevant reports to Audit and governance committee</p>	No comment	Green
8.2	<p>The annual complaints performance and service improvement report must be reported to the landlord's governing body (portfolio holder) (or equivalent) and published on the section of its website relating to complaints. The governing body's response to the report must be published alongside this.</p>	Yes	<ul style="list-style-type: none"> Quarterly and annual report go to the tenant board and senior management team Housing Ombudsman reports go to the tenant board and senior management team Learning is identified and improvements made 	Annual reports go to overview and scrutiny board in July, and responses received will then be published once received.	Green

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG Rating
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Not Applicable	<ul style="list-style-type: none"> Not Applicable 	<ul style="list-style-type: none"> Not Applicable 	Green
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Not Applicable	<ul style="list-style-type: none"> Not Applicable 	<ul style="list-style-type: none"> Not Applicable 	Green
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	<ul style="list-style-type: none"> This is written into the corporate policy 	No comment	Green

Section 9: Scrutiny and oversight: continuous learning and improvement

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG Rating
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	<ul style="list-style-type: none"> Service identifies improvements because of complaints looking at the lessons learnt and implementing training update and revise policy and procedures Compensation is now routinely considered at stage 1 complaint Learning from Ombudsman findings allows us to development action plans and benefit form additional learning 	No comment	Green
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	<ul style="list-style-type: none"> Service identifies improvements because of complaints looking at the lessons learnt and implementing training update and revise policy and procedures Compensation is now routinely considered at stage 1 complaint Learning from Ombudsman findings allows us to development action plans and benefit form additional learning 	No comment	Green
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	<ul style="list-style-type: none"> Wider learning is reported back to the tenant board, staff etc. 	No comment	Green

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG Rating
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	<ul style="list-style-type: none"> Named lead in place to meet the code Regular meetings between key managers to review issues, risks, policies and procedures 	No comment	Green
9.5	In addition to this a member of the governing body (or equivalent) must be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This person is referred to as the Member Responsible for Complaints ('the MRC').	Yes	<ul style="list-style-type: none"> Councillor Hazel Simmons – Leader of the Council 	No comment	Green
9.6	The MRC will be responsible for ensuring the governing body receives regular information on complaints that provides insight on the landlord's complaint handling performance. This person must have access to suitable information and staff to perform this role and report on their findings.	Yes	<ul style="list-style-type: none"> Members have access to caseworker our complaints management system Regular reports on complaints go to members 	No comment	Green
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: <ul style="list-style-type: none"> a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and d. Annual complaints performance and service improvement report. 	Yes	<ul style="list-style-type: none"> Regular reports on complaints go to members Complaint handling group reviewing information going to MRC 	No comment	Green

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation	RAG Rating
9.8	Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to: <ul style="list-style-type: none"> a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments. b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and c. Act within the professional standards for engaging with complaints as set by any relevant professional body. 	Yes	<ul style="list-style-type: none"> • Where complaint crosses over teams, one housing manager assumes responsibility and assigns tasks to colleagues for response • Caseworker enables collaborative working across teams to send one response to resident • Ombudsman code has been circulated to housing managers 	Although this works for many cases there has been finding that further work is required to fully meet this requirement. A written reminder will be sent to all complaint handlers to ensure that this is improved.	Amber

Green – complaint

Amber – work to be done