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:‘*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*. |  Yes | The complaint definition is included within our policy and published on our website. |
| **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 | Employees are aware of this through our internal communication channels. This is also captured within our Complaints Policy. |
| **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 | We try to resolve an issue raised by a customer at the earliest opportunity, where an issue cannot be resolved a complaint is logged. |
| **1.7** | A landlord must accept a complaint unless there is a valid reason not to do so. |  Yes | We will provide justification if we do not accept complaint |
| **1.8** | A complaints policy must clearly set out the circumstances in which a matter will not be considered, and these circumstances should be fair and reasonable to residents. |  Yes | This is outlined in our complaint’s policy document. |
| **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 | This is outlined in our complaint’s policy document. |

## 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 | Training is provided to employees, and they have received internal communication to this effect. |
| **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. |  Yes | In the event of an anonymous survey response the detail will be reviewed and internal investigation/fact finding process followed to identify any evidence of a service failure.Low scoring survey feedback about how we have delivered a service will result in a customer call back and will be discussed to understand the customers concerns. Where necessary a complaint is registered through the formal complaint handling process. |

# Section 2 - Accessibility and awareness

## Mandatory ‘must’ requirements

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| --- | --- | --- | --- |
| **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 | A complaint can be made via phone, letter, social media, our customer portal, in person to a staff member and via our website. |
| **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 | Our Complaints Policy is available to residents via our website which provides accessible ways to review the information including a browse aloud function. Copies are also available via a QR code and paper copies upon request. |
| **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 and contact options for how to raise a complaint are available on our website and are easy to locate. |
| **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 EDI Policy seeks to ensure that we actively promote a person-centred approach to residents to ensure specific needs are understood and met.*We will be introducing Equality Impact Assessments as part of our Policy Framework during 2023/24.* |
| **2.6** | Landlords must publicise the complaints policy and process, the Complaint Handling Code and the Housing Ombudsman Scheme in leaflets, posters, newsletters, online and as part of regular correspondence with residents.  |  Yes | Our complaints policy is displayed on our website and details can be found in our ‘Tell Us Your Concerns’ leaflet.*We are members of the Housing Ombudsman Scheme.*  |
| **2.7** | Landlords must provide residents with contact information for the Ombudsman as part of its regular correspondence with residents. |  Yes | Links to the Housing Ombudsman website are provided within our complaint outcome letters.  |
| **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 | Information regarding access to the Housing Ombudsman is provided to the customer in our acknowledgement of their complaint, and also upon resolution of a Stage 1 or Stage 2 complaint. |

## Best practice ‘should’ requirements

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| --- | --- | --- | --- |
| **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. |  Yes | Our complaints policy outlines that we will accept complaints via social media and outlines how we will respond. Our social media team refer complaints back to the Complaints Officer to log and manage, as per our policy. |

# 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 | Our Complaints Officer is assigned to take responsibility for complaints and coordinating their investigation. The Complaints Officer reports to our Head of Quality, Compliance and Performance We report on complaints on a quarterly basis to Operations Committee and to ELT. |
| **3.2** | …the complaint handler appointed must have appropriate complaint handling skills and no conflicts of interest. |  Yes | Our Complaints Officer is trained to manage and investigate complaints in an impartial manner. |

## Best practice ‘should’ requirements

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| --- | --- | --- | --- |
| **Code section** | **Code requirement** | **Comply:****Yes/No** | **Evidence, commentary and any explanations** |
| **3.3** | Complaint handlers should: * be able to act sensitively and fairly
* be trained to handle complaints and deal with distressed and upset residents
* have access to staff at all levels to facilitate quick resolution of complaints
* have the authority and autonomy to act to resolve disputes quickly and fairly.
 | Yes | Our Complaints Officer and other complaint handlers are supported and receive regular training. |

# 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 | Our complaints system records all contact with customers, and we capture information to enable us to improve our services. Where a customer requests for a complaint to be logged this is honoured and registered as a Stage 1 unless we can resolve the situation quickly for the customer. |
| **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 | When a complaint is made, a customer will receive an acknowledgement letter which details the specifics of their complaint as per our understanding. Customers are given the opportunity to clarify the reason for their complaint and their desired outcome. |
| **4.6** | A complaint investigation must be conducted in an impartial manner. |  Yes | The Complaints Officer ensures that there is an impartial review of customer complaints. |
| **4.7** | The complaint handler must: * 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 | Our complaints handlers are trained to complete a comprehensive complaint review, which are quality assured by the Complaints Officer. |
| **4.11** | Landlords must adhere to any reasonable arrangements agreed with residents in terms of frequency and method of communication |  Yes | Our complainants are kept up to date by phone call, email or in person. We consider the customers preferred method of contact.  |
| **4.12** | The resident, and if applicable any staff member who is the subject of the complaint, must also be given a fair chance to: * set out their position
* comment on any adverse findings before a final decision is made.
 |  Yes | We outline our standard procedures in our discussion with the complainant to understand their expected outcome prior to commencing the complaint investigation. We discuss our findings with the complainant prior to issuing a response letter and closing the complaint. |
| **4.13** | A landlord must include in its complaints policy its timescales for a resident to request escalation of a complaint |  Yes | Timescales are included in our policy. |
| **4.14** | A landlord must not unreasonably refuse to escalate a complaint through all stages of the complaints procedure and must have clear and valid reasons for taking that course of action. Reasons for declining to escalate a complaint must be clearly set out in a landlord’s complaints policy and must be the same as the reasons for not accepting a complaint. |  Yes | This is outlined in our Complaints Policy. |
| **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 | Records of the complaint investigation and contacts with customers are held in our complaint handling system. |
| **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 | We have an Acceptable Behaviour policy which gives due regard to unreasonable persistent contact. We have in place an ASB policy and ASB Information for Residents  |

## 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 customer is contacted to discuss the complaint and to manage expectations of resolution. |
| **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 | The Complaints Officer will conduct an initial evaluation of the complaint to determine resolution at the earliest opportunity. In the event of a complaint being received in our locations the appropriate Manager shall evaluate the information to see if a first case resolution (FCR) can be applied, this will ensure the complaint is resolved at the earliest opportunity.  |
| **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 | Our Complaints policy includes that – complainants have a choice to appoint a representative to manage their complaint. |
| **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 | We will not process an issue as a complaint where it is the subject of legal action, or potential legal action; or the subject of review by a statutory body (for example, First Tier Tribunal in relation to variable service charges). Such issues will be referred to our legal officer or solicitor as appropriate. Claims for personal injury will be dealt with by our insurers.Legal obligations for access for the annual gas service, right for repair and fire safety are stated to the customer if this is within the scope of the complaint. This also includes ExtraCare’s obligations and the customer obligations in terms of the lease or tenancy agreement. |
| **4.9** | Communication with the resident should not generally identify individual members of staff or contractors. |  Yes | Should a complaint response require a staff member to be identified this will be included in the complaint outcome to support the customers understanding. |
| **4.10** | Landlords should keep residents regularly updated about the progress of the investigation. |  Yes | This is included in our procedures. |
| **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. |  Yes | The Complaints Officer is to introduce a wider customer satisfaction survey process by April 2024. Feedback is to be reviewed by the Head of Quality, Compliance and Performance and the Complaints Officer, any potential learnings will be shared with the Learning and Improvement Group to understand the customer experience and to use to make improvements to our service. |
| **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 regularly report on how we have improved services as a result of customer dissatisfaction via our Customer Annual Report and performance information. Weekly performance reports are provided to management team to review and analyse.  |
| **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 | We take account of customers individual needs and also seek support from multi agency meetings, work closely with POAs, advocates, and/or social workers. |

# Section 5 - Complaint stages

## Mandatory ‘must’ requirements

## Stage 1

|  |  |  |  |
| --- | --- | --- | --- |
| **Code section**  | **Code requirement** | **Comply:****Yes/No** | **Evidence, commentary and any explanations**  |
| **5.1** | Landlords must respond to the complaint **within 10 working days** of the complaint being logged. Exceptionally, landlords may provide an explanation to the resident containing a clear timeframe for when the response will be received. This should not exceed a further 10 days without good reason.  | Yes | This is included in our procedures. |
| **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 | This is included in our procedures. |
| **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 | This is included in our procedures. |
| **5.8** | Landlords must confirm the following in writing to the resident at the completion of stage one in clear, plain language: * 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 | This is included in our complaint’s procedures and included in all response letters. This is regularly quality assured by the Complaints Officer. |

## 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 is included in our complaint’s procedure. |
| **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 | When a Stage 2 case is logged, we contact the customer to understand why the customer has escalated their complaint to ensure our understanding of their dissatisfaction. |
| **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 | This is included in our Complaints Policy. |
| **5.12** | The person considering the complaint at stage two, must not be the same person that considered the complaint at stage one. |  Yes | This is included in our Complaints Policy. We have an internal complaints allocation matrix to guide the complaints team when allocating a complaint to an appropriate complaint handler. |
| **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 is included in our Complaints Policy.  |
| **5.16** | Landlords must confirm the following in writing to the resident at the completion of stage two in clear, plain language: * 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** * if the landlord has a third stage, details of how to escalate the matter to stage three
* if this was the final stage, details of how to escalate the matter to the Housing Ombudsman Service if the resident remains dissatisfied.
 |  Yes | We have a structured template letter ensuring all mandatory information is provided to the customer.We have a two-stage complaint process. |

## Stage 3

|  |  |  |  |
| --- | --- | --- | --- |
| **Code section** | **Code requirement** | **Comply:****Yes/No** | **Evidence, commentary and any explanations**  |
| **5.17** | Two stage landlord complaint procedures are ideal. This ensures that the complaint process is not unduly long. If landlords strongly believe a third stage is necessary, they must set out their reasons for this as part of their self-assessment. A process with more than three stages is not acceptable under any circumstances. |  Yes | We have a two-stage complaint process  |
| **5.20** | Landlords must confirm the following in writing to the resident at the completion of stage three in clear, plain language: * 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 | We have a two-stage complaint process |

## Best practice ‘should’ requirements

## Stage 1

|  |  |  |  |
| --- | --- | --- | --- |
| **Code section** | **Code requirement** | **Comply:****Yes/No** | **Evidence, commentary and any explanations**  |
| **5.2** | If an extension beyond 20 working days is required to enable the landlord to respond to the complaint fully, this should be agreed by both parties.  |  Yes | This is included in our Complaints Policy and an extension letter is sent to the customer to explain and agree.  |
| **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 | This is included in our Complaints Policy and an extension letter is sent to the customer to explain and agree and details of the Housing Ombudsman are provided. |
| **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 | Within the investigation of a complaint, historical reports of an issue are considered.  |
| **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 | This is included in our standard complaints process.  |

## 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 | This is included in our complaints process and through discussion with the customer, and formally confirmed.  |
| **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 | This is included in our complaints process and confirmed through a holding letter.We will continue with the investigation and try to reach a resolution even if the customer decides to escalate the complaint to the Housing Ombudsman. |

## 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 | We have a two-stage complaint process |
| **5.19** | Where agreement over an extension period cannot be reached, landlords should provide the Housing Ombudsman’s contact details so the resident can challenge the landlord’s plan for responding and/or the proposed timeliness of a landlord’s response. |  N/A | We have a two-stage complaint process |

# Section 6 - Putting things right

## Mandatory ‘must’ requirements

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| --- | --- | --- | --- |
| **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 | We include our actions to resolve a complaint within a customer’s outcome response.  |
| **6.2** | Any remedy offered must reflect the extent of any service failures and the level of detriment caused to the resident as a result. A landlord must carefully manage the expectations of residents and not promise anything that cannot be delivered or would cause unfairness to other residents. | Yes | We include our actions to resolve a complaint within a customer’s outcome response, also discussing the resolution with the customer in advance of the complaint closure.  |
| **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 | We include our actions to resolve a complaint within a customer’s outcome response  |
| **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 | How we award compensation is included in our Complaints Policy, in line with our compensation framework. |

## Best practice ‘should’ requirements

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| --- | --- | --- | --- |
| **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 is shared with relevant teams and considered at our Learning and Improvement Group. Examples of learning are published in our Annual Customer Report. |
| **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 | We have access to a Legal Manager and a Governance team. We also have access to solicitors if we need further advice on meeting our legal obligations.  |

# 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 | Our Customer Annual Report is shared in our Customer Forums and with the Resident Associations across all locations. We provide reports on complaints and learning to our Forum for their consideration. The Annual Report is published on our website.  |

**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 Committee has responsibility for complaints.The Chair of Operations Committee is responsible for ensuring information is received on complaints handling performance and culture. |
| **7.4** | As a minimum, governing bodies should receive:* 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 | Quarterly report to Operations Committee contains detail in regards to complaint volumes per location, stage and categories. Escalated complaint through internal stages, ombudsman referrals/determinations and any compensation awarded. Housemark Monthly Pulse, Annual Resident ReportWe will be having more focus on the Annual Housing Ombudsman Report and taking account of other provider Ombudsman referrals’ and Determinations to learn from this. |
| **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 | Reporting on themes and trends is provided monthly to the Learning Improvement Group. *We will be sharing this information with senior management for them to review with their teams, and to identify local action plans and areas for improvement.* |
| **7.6** | Landlords should have a standard objective in relation to complaint handling for all employees that reflects the need to:* 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 | ExtraCare’s behaviours and values reflect the requirement for effective complaint handling. Training is provided. |

# 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 | Completed annually and published on our website. |
| **8.2** | Landlords must also carry out a self-assessment following a significant restructure and/or change in procedures.  |  Yes | We are currently reviewing and updating our Complaints Policy |
| **8.3** | Following each self-assessment, a landlord must: * 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 will be reported to the Operations Committee and be available on the website. Complaint performance is provided to the Resident Forum and included in the Annual Report. |