

Housing Ombudsman Code – Self Assessment

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	For full details see below link: For complaints made after 30/11/2023 - Corporate complaints and compliments procedure The London Borough Of Havering	Under the Complaints Policy a complaint is defined as <i>‘an expression of dissatisfaction about the Council’s provision of, or failure to provide, a service for which it has responsibility and when it has not been put right any service failure in a reasonable timescale’</i>
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	For full details see below link: For complaints made after 30/11/2023 - Corporate complaints and compliments procedure The London Borough Of Havering	Any contact received by the Insight, Information, and Investigations team; through any avenue, that states there is a failure of service, will be treated as a complaint.

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	For full details see below link: For complaints made after 30/11/2023 - Corporate complaints and compliments procedure The London Borough Of Havering	There is a clear definition in the Policy regarding what is considered a complaint. Officers are trained to recognise the difference between a request for service and being unhappy with a situation or a service provided.
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		All services are aware that any customer service or process should continue as normal. The service should not cease due to a complaint being raised.
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.	No		Due to a recent re-structure of the complaints team across the Council; we have not yet implemented the survey feedback on complaints. This is planned to be implemented in the financial year 2024/2025.

				Wider Survey feedback will also be reviewed.
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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	For full details see below link: For complaints made after 30/11/2023 - Corporate complaints and compliments procedure The London Borough Of Havering	All complaints are considered on an individual basis. Where a complaint will not be accepted this will be explained in full. In circumstances that the issue is not considered a complaint, the customer will be contacted and notified of the reasons why and what actions have been taken instead.
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 occurred over twelve months ago. 	Yes / No	Details of complaints that will not be accepted, can be found in the below policy document: For complaints made after 30/11/2023 - Corporate complaints and compliments procedure The London Borough Of Havering	The Policy clearly sets out complaints may not be accepted if they are outside of 12 months and if they are being handled as a legal issue. The Policy does not stipulate it will not consider matters previously considered under the Complaints Policy.

	<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. 			The policy is due to be reviewed this financial year and will be adapted.
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	<p>Details of complaints that will not be accepted, can be found in the below policy document:</p> <p>For complaints made after 30/11/2023 - Corporate complaints and compliments procedure The London Borough Of Havering</p>	The Policy states if a complaint is older than 12 months, we may still be able to consider it if there are extenuating circumstances that led to the delay of the complaint being made, and it is still possible to investigate the complaint effectively and fairly.
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>Details of complaints that will not be accepted, can be found in the below policy document:</p> <p>For complaints made after 30/11/2023 - Corporate complaints and compliments procedure The London Borough Of Havering</p>	<p>Where a Stage Two complaint is declined, the reason will be explained to the customer and the details of the Ombudsman will also be provided.</p> <p>Information regarding the Ombudsman is provided with each acknowledgement or decline, and with each response at both stages of the complaint.</p>

2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes / No	This is not stipulated in the Policy at present	We do consider all complaints based on the merits of the complaint and the complainant and where staff may be unsure, they will consult with management for a decision. This will be added as part of the Policy review this year.

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>Details of complaints that will not be accepted, can be found in the below policy document:</p> <p>For complaints made after 30/11/2023 - Corporate complaints and compliments procedure The London Borough Of Havering</p>	<p>Complaints can be reported via the online complaints form, telephone via the Call Centre or face to face. Officers can report complaints online for customers.</p> <p>Complaints can also be accepted via email and in the form of a letter.</p> <p>All policies have an Equality Impact Assessment carried out before publishing.</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	<p>Details of complaints that will not be accepted, can be found in the below policy document:</p> <p>For complaints made after 30/11/2023 - Corporate complaints and compliments procedure The London Borough Of Havering</p>	<p>The Policy has been provided to all staff to ensure they understand the Policy and are able to assist customers in making a complaint.</p>

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	<p>Details of complaints that will not be accepted, can be found in the below policy document:</p> <p>For complaints made after 30/11/2023 - Corporate complaints and compliments procedure The London Borough Of Havering</p>	As a Council we promote and encourage complaints and receive high volumes of complaints across areas within the Council.
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	<p>For complaints made after 30/11/2023 - Corporate complaints and compliments procedure The London Borough Of Havering</p> <p>The Council's complaint procedure Complaints The London Borough Of Havering</p>	<p>The full Policy can be found online via the link:</p> <p>A paper copy can be provided on request in all formats, such as Braille or translated. A copy can also be downloaded via the first link.</p> <p>A quick guide for customers can also be found via the second link:</p>
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	Contacting the Ombudsman Complaints The London Borough Of Havering	The website provides details around the Housing and LGSCO (Local Government and Social Care Ombudsman). There is a

				<p>link on this page to both websites, which includes the Housing Ombudsman Complaints handling code:</p> <p>In addition, the self-assessment against the code is publicised. Further publication of the Policy and the Code will be in future communications to customers.</p>
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		<p>We will allow third parties to act on our customers behalf where General Data Protection consent has been given.</p> <p>In particularly vulnerable situations we may waiver the consent, where possible.</p>
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		Information regarding the Ombudsman is provided with each acknowledgement or decline, and with each response at both stages of the complaint.

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		The Customer Insight, Information and Investigation team covers all complaints received into the Council. All reports and Service Development are dealt with via this team. Re-structured in September 2023.
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 officers have full autonomy from Assistant Directors and Directors as well as three Team Leaders in place within the team. All officers are trained to treat all customers sympathetically, as well as provide support when required.
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	Yes		All officers are trained on; Complaints, Equality, diversity, and inclusion. Officers are continuously

	<p>important that complaints are seen as a core service and must be resourced to handle complaints effectively</p>			<p>learning and training around complaints handling and enhancing their skills.</p> <p>All officers investigating complaints are placed outside the service areas, which the complaints relate to. If a conflict of interest is recognised with an officer; the case would be re-assigned to another officer to investigate.</p> <p>We have implemented a new case management system and under our new structure. There is a team dedicated to service improvement.</p> <p>The Service delivery team have begun to report on future service delivery and improvement.</p>
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Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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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	Contacting the Ombudsman Complaints The London Borough Of Havering	<p>The website provides details around the Housing and LGSCO. There is a link on this page to both websites, which includes the Housing Ombudsman Complaints handling code.</p> <p>In addition, the self-assessment against the code is also publicised.</p>
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		We do not operate a Stage Three process.
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		<p>All complaints received to the Council are dealt with in line with the Policy and only these are official complaints.</p> <p>We do not operate a three-stage process.</p>
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes		All third parties within Housing Services must adhere to the code and the Policy.
5.6	When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must	Yes		The Complaints triage team will review the complaint

	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.			and acknowledge their understanding of the complaint and expected outcome. If clarification is required, they will contact the customer.
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		Any aspects of the complaint that will not be considered are explained to the customer at the acknowledgment stage.
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		All complaints officers investigate cases based on evidence. Officers are trained to treat all customers fairly and impartially and consider the situation and vulnerabilities when investigating a complaint. All officers are trained in Data Protection.
5.9	Where a response to a complaint will fall outside the timescales set out in this Code, the landlord must agree with	Yes		Stage One complaints are targeted to be responded to within 10 working days. If an

	the resident suitable intervals for keeping them informed about their complaint.			<p>extension is required, this must be justified and agreed by a manager.</p> <p>If an extension is agreed, the customer will be provided with an explanation and a new target date no later than a further 10 working days.</p>
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		<p>All policies have an Equality Impact Assessment carried out before publishing.</p> <p>Any vulnerabilities or disabilities are recorded via the main Housing system.</p>
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 and Compliments Policy and Procedures 2023 (havering.gov.uk)	<p>Details of rights to escalate and elements that will be considered can be found in the policy link:</p>
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	Yes		<p>All decisions are relayed to the customers and the reason behind this decision. All evidence is saved via the</p>

	correspondence with the resident, correspondence with other parties, and any relevant supporting documentation such as reports or surveys.			<p>complaints system, which provides a full audit.</p> <p>Havering Council operates a Two stage process for Housing complaints and there is no informal process.</p> <p>All complaints are logged within 3 working days.</p>
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	Goodwill gesture discretionary payment policy 2021 (havering.gov.uk)	<p>Remedies are considered in line with the Housing Services Goodwill gesture policy:</p> <p>This Policy is due to be reviewed in 2024 / 2025 in line with the Ombudsman remedies policy.</p>
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		<p>Vexatious complaints are covered under on page 9 of the policy.</p> <p>The Policy is also due to be reviewed in 2024/ 2025 and this section will be re-named as Unacceptable Behaviour.</p>
5.15	Any restrictions placed on contact due to unacceptable behaviour must be	Yes		All customers are entitled to raise a complaint. There are

	proportionate and demonstrate regard for the provisions of the Equality Act 2010.			several avenues for a complaint to be raised and in cases with unacceptable behaviour officers may be given a complaints officer as their point of contact.
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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		All complaints are responded to as quickly as possible. We have a triage team in place to resolve any early resolution and pick up any urgent issues.
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 and Compliments Policy and Procedures 2023 (havering.gov.uk)	Under the Complaints Policy all complaints will be acknowledged within 3 working days.
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 and Compliments Policy and Procedures 2023 (havering.gov.uk)	Stage One complaints are targeted to be responded to within 10 working days.
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	Yes	Complaints and Compliments Policy and Procedures 2023 (havering.gov.uk)	If an extension is agreed, the customer will be provided with an explanation and a new

	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.			target date no later than a further 10 working days.
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		The Ombudsman details are provided with the extension correspondence. Details of the Ombudsman are provided at this stage if the customers are not happy with the extension.
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		A response is sent to the customer once the investigation has been completed. Any follow up actions agreed in the complaint will be monitored.
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		All responses are answered in full, and details referenced where needed.
6.8	Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if they are related	Yes		If the issue is raised during the investigation, where this will not delay the response,

	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.			<p>this may be considered as part of the complaint.</p> <p>However, if the information will delay the response or is a new issue, we may consider the issue as a new complaint.</p>
6.9	<p>Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language:</p> <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	Complaints and Compliments Policy and Procedures 2023 (havering.gov.uk)	<p>The Stage One response provide these details, as per the Policy.</p>

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	Yes		Where a Stage Two complaint is received, if accepted this will be

	stage 2 of the landlord's procedure. Stage 2 is the landlord's final response.			<p>progressed to the next stage.</p> <p>If the Stage two is declined, the reason will be explained to the customer and the details of the Ombudsman will also be provided.</p>
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		All Stage Two complaints are acknowledged and the details of the complaint and expected outcome are included in the Stage Two acknowledgement.
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 / No		The current policy does not include this. However, this will be reviewed as part of the Policy review in the financial year 2024/2025. However, adaptations have been made to the service in the interim.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes		Stage Two cases will be handled by an officer different to the officer that investigated at Stage One.
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working</u>	Yes		Stage Two complaints are targeted to be responded to within 20 working days.

	days of the complaint being acknowledged.			
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		<p>If an extension is agreed, the customer will be provided with an explanation and a new target date no later than twenty working days beyond the original target date.</p> <p>We will agree this with the customer in writing or verbally and follow up with written confirmation.</p>
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		The Ombudsman details are provided if the customer is not in agreement with the extension.
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		<p>A response is sent to the customer once the investigation has been completed.</p> <p>Any follow up actions agreed in the complaint will be monitored.</p>

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		All responses are answered in full, and details referenced where needed.
6.19	<p>Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:</p> <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	Complaints and Compliments Policy and Procedures 2023 (havering.gov.uk)	<p>All Complaints responded to at a Stage Two provide this information.</p> <p>All stage Two cases are overseen by Specialist officers within the team and where required sign off by a manager.</p>
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes		We do not have a third stage in our process and therefore, details of the right to escalate to the Ombudsman are provided in the Stage two response.

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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; • Amending a record or adding a correction or addendum; • Providing a financial remedy; • Changing policies, procedures or practices. 	Yes	<p>Complaints and Compliments Policy and Procedures 2023 (havering.gov.uk)</p>	<p>All complaint responses explain where there has been a failure and the actions taken to rectify the failure.</p> <p>An apology and remedy will be offered where required.</p>

7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Goodwill gesture discretionary payment policy 2021 (havering.gov.uk)	<p>Remedies are considered in line with the Housing Services Goodwill gesture policy.</p> <p>This is due to be reviewed in the financial year 2024/2025 in line with the Ombudsman remedies policy.</p>
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		<p>All remedies offered are monitored to completion with the service.</p> <p>Any monetary remedy offer is left open for 21 days. After the 21 days we will attempt to contact the customer via telephone twice and then if unsuccessful, by written communication. If no response is received; we will write to advise that that complaint has been closed.</p>
7.4	Landlords must take account of the guidance issued by the Ombudsman	Yes/No		This is due to be reviewed in the financial year 2024/2025 in line with the

	when deciding on appropriate remedies.		Goodwill gesture discretionary payment policy 2021 (havering.gov.uk)	Ombudsman remedies policy.
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Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include: <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 	Yes/No		<p>Following the restructure and new Policy in December 2023, we will implement all elements of this and ensure all is included in future reports.</p> <p>We currently provided detailed analysis to the Monthly Theme Board, and this is being developed further.</p>

	f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.			
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.	Yes / No		The Lead Member of the Council oversees complaints handling. The annual report will be completed for 2023/2024 and a response published in the near future.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes		The self-assessment will be completed following a re-structure or change in procedures.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes		If this is requested, we will review the self-assessment.
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		If required, we will update the Ombudsman and our Website.

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		<p>We have implemented a new case management system and under our new structure there is a team dedicated to service improvement.</p> <p>Once the new team and system is fully operational, we will implement future service delivery, more training and support in full.</p>
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		The new structure has a team dedicated to Service Development and we are analysing data to identify changes.
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		<p>An annual report is provided throughout the Council, which includes complaints.</p> <p>Following the implementation of the new policy and complaints management systems that came into effect on the 1st</p>

				of December 2023, we will ensure this report is provided to all listed.
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		<p>Reports are provided to service areas as often as possible. With the new case management system; it is planned that the system will provide automatic reports that managers can access themselves to implement training and service improvement, with the support of the complaint team.</p> <p>There is also an oversight form the complaints management team.</p>
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		The Lead Member of the Council is the MRC (Member Responsible for Complaints).
9.6	The MRC will be responsible for ensuring the governing body receives regular information on complaints that	Yes		Power BI reports are provided to the MRC and the MRC works very closely

	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.			with the Senior officers of the team that handles complaints.
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: 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/No		These elements are currently being implemented following the restructure of the new team. Some elements are already provided, and some are still being built into the system for performance analysis.
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: a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;	Yes / No		All officers have an objective set regarding case management and right first time. This needs to be reviewed with third parties.

	<p>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</p> <p>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</p>			
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