# Ashfield District Council - Self-Assessment against the Housing Ombudsman Service’s Complaint Handling Code

The Housing Ombudsman Service states that:

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.

Assessment Completed By: Peter Curry, Consumer Standards Lead Officer, with section 3 consulted on with members of Tenants Gateway and Tenant Scrutiny Panel

Assessment reported to and approved by the Council’s Cabinet on: Monday 22 September 2025

#  Section 1: Definition of a complaint

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
| --- | --- | --- | --- | --- |
| 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 | Definition set out in the Council’s Complaints and Compliments Policy (Definitions section) and the Housing Complaints Procedure (Section 3.1) |  |
| 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 | Expectations around wording of complaints is set out in the Council’s Housing Complaints Procedure (Section 3.2). The ability to submit complaints through third parties is set out in the Council’s Complaints and Compliments Policy (Who can complain? Section) and Housing Complaints Procedure (Section 3.3). |  |
| 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 | This is set out in the Council’s Complaints and Compliments Policy (Definitions Section) and Housing Complaints Procedure (Section 3.4). |  |
| 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 | This is set out in the Council’s Housing Complaints Procedure (Section 3.4) and is common practice throughout the organisation. |  |
| 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 | This approach is set out in the Council’s Housing Complaints Procedure (Section 3.5) |  |

# 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 | This approach is set out in the Council’s Complaints and Compliments Policy (Introduction Section) and the Housing Complaints Procedure (Section 3.7). |  |
| 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:* 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 | The Council’s Complaints and Compliments Policy sets out a number of exclusions and confirms these will be assessed on a case-by-case basis (Introduction Section).  |  |
| 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 | The Council’s Complaints and Compliments Policy states in its exclusions “*The issue giving rise to the complaint occurred over twelve months ago (without good reason for the delay in raising a complaint), except where there are health and safety issues or safeguarding concerns*” and confirms that exclusions will be considered on a case-by-case basis. |  |
| 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 | The approach is set out in the Council’s Complaints and Compliments Policy (Introduction Section). The Housing Complaints Procedure confirms this approach and stipulates that the complainant must be informed of a decision to exclude in writing, providing a sample letter that includes the contact details for the Housing Ombudsman Service. (Section 3.7) |  |
| 2.5 | Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint. | Yes | This approach is confirmed in the Council’s Complaints and Compliments Policy (Introduction Section) and Housing Complaints Procedure (Section 3.7). |  |

# 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 | The Council’s Complaints and Compliments Policy lists a number of methods residents can make a complaint to the Council, including in person and by phone (How can I complain? Section). The Policy also provides advice on what residents should do, if they require support to make a complaint, along with signposting to the Council’s Reasonable Adjustments Scheme, which has been created in line with the Equality Act 2010 (Help with making your complaint Section). The Council’s Housing Complaints Procedure also provides information relating to ensuring the complaints process is accessible to all residents (Section 4). |  |
| 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 | Guidance is available to all officers on complaint handling via the Council’s internal intranet. Complaints are routinely discussed as part of regular meetings. The ways to make a complaint are featured within the Council’s Complaints and Compliments Policy and Housing Complaints Procedure. |  |
| 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 | The Council’s Complaints and Compliments Policy states “*We understand the importance of complaints in providing valuable feedback on the quality of services we provide to residents. The Council do not see complaints as negative, as the outcomes are used to help improve the services we provide to our customer and appreciate that high complaint volumes can be expected as we have adopted an open and accessible Complaints Policy*”. |  |
| 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 | The Council’s Complaints and Compliments Policy is published on the website and available in alternative formats, upon request. The complaints process has also featured in a hard copy tenant magazine that was sent to all current tenants in December 2024. A two-stage process has been adopted and the policy provides process steps, and associated timescales. |  |
| 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 | The Council’s Complaints and Compliments Policy provides an explanation of the publicising of the Complaints Policy (Publication of Complaints and Compliments Policy Section), it also includes details of the Housing Ombudsman Service, along with contact details and links to the Ombudsman’s website. The Policy signposts to the Housing Complaints section of the website with further information relating to the Housing Ombudsman Service.  |  |
| 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 | This approach is set out in the Council’s Complaints and Compliments Policy (Who can complain? Section) and Housing Complaints Procedure (Section 3.3). |  |
| 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 | Housing Ombudsman details are contained within the Council’s Complaints and Compliments Policy, on the Housing Complaints Page of the website and within standard letter templates set out in the Housing Complaints Procedure. Housing Ombudsman Posters are also displayed in public areas of the Urban Road Office. The complaints process has also featured in a hard copy tenant magazine, including reference to the Housing Ombudsman Service, which was sent to all current tenants in December 2024. |  |

# 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 Consumer Standards Officer is the Complaints Officer for the Council’s housing complaints. |  |
| 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 | The Consumer Standards Lead Officer has access to all levels within the Council, to ensure complaints are resolved promptly and fairly. |  |
| 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 | This expectation is set out within the Housing Complaints Procedure (Section 5.5). |  |

# Section 5: The Complaint Handling Process

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
| --- | --- | --- | --- | --- |
| 5.1 | Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.  | Yes | The Council have a single Complaints Policy and a culture where any type of discrimination is not tolerated. |  |
| 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 | The Council’s Complaints and Compliments Policy and Housing Complaints Procedure both focus on facilitating resolving and responding to complaints as quickly as possible. There are no pre-complaint or informal complaint stages in the Council’s Complaints Policy. |  |
| 5.3 | A process with more than two stages is not acceptable under any circumstances as this will make the complaint process unduly long and delay access to the Ombudsman. | Yes | The Council has adopted a two-stage complaints 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 | The Council’s Complaints and Compliments Policy (Definitions Section) stipulates that complaints relating to third parties providing services on behalf of the Council will be investigated and responded to by the commissioning department within the Council, in line with the Council’s Policy. |  |
| 5.5 | Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.   | Yes | The Council’s Complaints and Compliments Policy (Definitions Section) stipulates that complaints relating to third parties providing services on behalf of the Council will be investigated and responded to by the commissioning department within the Council, in line with the Council’s Policy. |  |
| 5.6 | When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. The Code will refer to this as “the complaint definition”. If any aspect of the complaint is unclear, the resident must be asked for clarification.  | Yes | This approach is set out in the Council’s Complaints (Stage One and Two Sections) and Compliments Policy and Housing Complaints Procedure (Sections 6.4 and 8.3). |  |
| 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 | This approach is set out in the Council’s Housing Complaints Procedure (Section 6.5). |  |
| 5.8 | At each stage of the complaints process, complaint handlers must:  1. deal with complaints on their merits, act independently, and have an open mind;
2. give the resident a fair chance to set out their position;
3. take measures to address any actual or perceived conflict of interest; and
4. consider all relevant information and evidence carefully.
 | Yes | The approach is set out in the Council’s Housing Complaints Procedure (Section 5.5). |  |
| 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 | This approach is set out in the Council’s Complaints and Compliments Policy (stage 1 and Stage 2 Sections) and Housing Complaints Procedure (Sections 6.12, 7.3 and 8.5). |  |
| 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 | This approach is set out in the Council’s Complaints and Compliments Policy (Equality Statement Section) and Housing Complaints Procedure (Section 4.2). |  |
| 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 | The Council’s Housing Complaints Procedure contains a letter template, which includes detailing the reasons for the decision not to escalate a complaint and includes HOS’ contact details so the decision can be challenged, if required. No guidance is provided on exclusions from escalation, as it is confirmed in the letter template that it is expected that this would only take place if one of the exclusions set out in the Council’s Complaints and Compliments Policy came in to effect between stage one and two of the process. |  |
| 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 | Guidance is set out for officers in the Council’s Housing Complaints Procedure (Section 6.14). The Housing Complaints Officer co-ordinates storage of housing complaint documents. |  |
| 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 | This approach is set out in the Council’s Complaints and Compliments Policy (How we will deal with your complaint and what you can do if you are unhappy with our response Section) and Housing Complaints Procedure (Section 6.16). |  |
| 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 | This approach is set out in the Council’s Unreasonable or Unreasonably Persistent Complaints Policy. |  |
| 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 | This approach is set out in the Council’s Unreasonable or Unreasonably Persistent Complaints Policy. |  |

# 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 | This approach is set out in the Housing Complaints Procedure (Section 6.7). |  |
| 6.2 | Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure **within five working days of the complaint being received**.  | Yes | This approach is set out in the Council’s Complaints (Stage 1 Section) and Compliments Policy and Housing Complaints Procedure (Section 6.4). | It is noted that a small number of complaints were not acknowledged within this timescale during the 2024/25 financial year. Guidance and information has been provided to relevant service areas and performance in this area is being closely monitored. |
| 6.3 | Landlords must issue a full response to stage 1 complaints **within 10 working days** of the complaint being acknowledged.   | Yes | This approach is set out in the Council’s Complaints (Stage 1 section) and Compliments Policy and Housing Complaints Procedure (Section 7.2). | It is noted that a very small number of complaints were not responded to within this timescale (excluding those cases subject to an extension to the response deadline) during the 2024/25 financial year. Guidance and information has been provided to the relevant service area and performance in this area is being closely monitored. |
| 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 | This approach is set out in the Council’s Complaints and Compliments Policy (Stage 1 Section) and Housing Complaints Procedure (Section 7.3). |  |
| 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 | This approach is set out in the Council’s Housing Complaints Procedure (Section 7.3 and Letter template – appendix 7). |  |
| 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 | This approach is set out in the Council’s Complaints and Compliments Policy (What happens when I have complained or submitted a compliment? Section)and Housing Complaints Procedure (Section 7.5). |  |
| 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 | This approach is set out in the Council’s Housing Complaints Procedure (Section 7.2). |  |
| 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 | This approach is set out in the Council’s Housing Complaints Procedure (Section 7.6). |  |
| 6.9 | Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language:  1. the complaint stage;
2. the complaint definition;
3. the decision on the complaint;
4. the reasons for any decisions made;
5. the details of any remedy offered to put things right;
6. details of any outstanding actions; and
7. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.
 | Yes | This approach is set out in the Council’s Housing Complaints Procedure (Section 7.2). |  |

Stage 2

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
| --- | --- | --- | --- | --- |
| 6.10 | If all or part of the complaint is not resolved to the resident’s satisfaction at stage 1, it must be progressed to stage 2 of the landlord’s procedure. Stage 2 is the landlord’s final response. | Yes | This approach is set out in the Council’s Complaints and Compliments Policy (Stage 2 Section) and Housing Complaints Procedure (Section 8.2). |  |
| 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 | This approach is set out in the Council’s Complaints and Compliments Policy (Stage 2 Section) and Housing Complaints Procedure (Sections 6.4 and 8.3). |  |
| 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 | This approach is set out in the Council’s Complaints and Compliments Policy (Stage 2 section) and Housing Complaints Procedure (Section 8.2). |  |
| 6.13 | The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.  | Yes | This approach is set out in the Housing Complaints Procedure (Section 8.2). |  |
| 6.14 | Landlords must issue a final response to the stage 2 **within 20 working days** of the complaint being acknowledged.   | Yes | This approach is set out in the Council’s Complaints and Compliments Policy Stage 2 Section) and Housing Complaints Procedure (Section 8.4). | It is noted that a very small number of complaints were not responded to within this timescale (excluding those cases subject to an extension to the response deadline) during the 2024/25 financial year. Guidance and information has been provided to the relevant officers and performance in this area is being closely monitored. |
| 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 | This approach is set out in the Council’s Complaints (Stage 2 Section) and Compliments Policy and Housing Complaints Procedure (Section 8.5). |  |
| 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 | This approach is set out in the Council’s Housing Complaints Procedure (Section 8.5). |  |
| 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 | This approach is set out in the Council’s Housing Complaints Procedure (Section 8.6). |  |
| 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 | This approach is set out in the Council’s Housing Complaints Procedure (Section 8.4). |  |
| 6.19 | Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:  1. the complaint stage;
2. the complaint definition;
3. the decision on the complaint;
4. the reasons for any decisions made;
5. the details of any remedy offered to put things right;
6. details of any outstanding actions; and
7. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.
 | Yes | This approach is set out in the Council’s Housing Complaints Procedure (Section 8.4). |  |
| 6.20 | Stage 2 is the landlord’s final response and must involve all suitable staff members needed to issue such a response. | Yes | This approach is set out in the Council’s Complaints and Compliments Policy (Stage 2 Section) and Housing Complaints Procedure (Sections 6.9 and 6.13). |  |

# Section 7: Putting things right

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
| --- | --- | --- | --- | --- |
| 7.1 | 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: * 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 | This approach is set out in the Council’s Complaints and Compliments Policy (Stage 2 Section) and Housing Complaints Procedure (Section 10.1). |  |
| 7.2 | Any remedy offered must reflect the impact on the resident as a result of any fault identified.  | Yes | This approach is set out in the Council’s Housing Complaints Procedure. |  |
| 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 | This approach is set out in the Council’s Housing Complaints Procedure (Section 10.2). |  |
| 7.4 | Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.  | Yes | This approach is set out in the Council’s Housing Complaints Procedure (Section 10.4). |  |

# 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: 1. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.
2. 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;
3. any findings of non-compliance with this Code by the Ombudsman;
4. the service improvements made as a result of the learning from complaints;
5. any annual report about the landlord’s performance from the Ombudsman; and
6. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.
 | Yes | This approach is set out in the Housing Complaints Procedure (Section 11.3) and this report has been produced and has been presented to the Council’s Cabinet. |  |
| 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 | Following review of the report and this self-assessment, the outcome and Cabinet’s response will be published on the Council’s website. |  |
| 8.3 | Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures. | Yes | This approach is set out in the Council’s Housing Complaints Procedure (Section 11.5). |  |
| 8.4 | Landlords may be asked to review and update the self-assessment following an Ombudsman investigation. | Yes | Whilst this is not detailed in Council Policies and Procedures, this is noted by the Council. |  |
| 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 | Whilst this is not detailed in Council Policies and Procedures, this is noted by the Council. |  |

# 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 | This approach is set out in the Council’s Complaints and Compliments Policy (Learning from Complaints Section) and Housing Complaints Procedure (Section 12). |  |
| 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 | This approach is set out in the Council’s Complaints and Compliments Policy (Learning from Complaints Section) and Housing Complaints Procedure (Section 12). |  |
| 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 | This approach is set out in the Council’s Housing Complaints Procedure (Section 11 and 12). |  |
| 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 | This person is set out in the Council’s Complaints and Compliments Policy and Housing Complaints Procedure. The person’s details are also detailed on the Council’s website. |  |
| 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 | This approach is set out in the Council’s Complaints and Compliments Policy (Member Responsible for Complaints Section) and Housing Complaints Procedure (Section 13.3). |  |
| 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 | This approach is set out in the Council’s Complaints and Compliments Policy (Member Responsible for Complaints Section) and Housing Complaints Procedure (Section 13.3). |  |
| 9.7 | As a minimum, the MRC and the governing body (or equivalent) must receive: 1. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;
2. regular reviews of issues and trends arising from complaint handling;
3. regular updates on the outcomes of the Ombudsman’s investigations and progress made in complying with orders related to severe maladministration findings; and
4. annual complaints performance and service improvement report.
 | Yes | This approach is set out in the Council’s Housing Complaints Procedure (Section 13.3). |  |
| 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: 1. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;
2. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and
3. act within the professional standards for engaging with complaints as set by any relevant professional body.
 | Yes | This approach is set out in the Council’s Housing Complaints Procedure (Section 13.4). |  |