

Appendix A: Self-assessment form.

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

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

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

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

Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.1	Effective complaint handling enables residents to be heard and understood. The starting point for this is a shared understanding of what constitutes a complaint.	Yes	Policy fully aligns to definition	
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	Policy fully aligns to definition.	
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	Policy is clear that a resident does not have to use the word 'complaint' for it to be treated as such, and it is their choice that a complaint will be raised. Complaints made by a third party / representative are treated in line with the policy.	
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	Policy fully aligns to definition.	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Where a resident expresses dissatisfaction with a service request, a complaint is raised. This does not affect the handling of the service request which would continue to deliver a resolution.	
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	Where surveys are completed, and a resident expresses dissatisfaction they are advised how they can make a complaint if they wish. External partners are provided with the details of how-to make a complaint so they can share with a person if they express, they want to make a complaint. (TSMs, planned works, etc).	

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	ForHousing will consider each complaint on its own merits and consider the individual circumstances. When a complaint is not accepted a record of the explanation given to the resident is recorded in ForHousings housing management system.	
2.2	A complaints policy must set out the circumstances in which a matter will not be	Yes	There will be exceptional situations when a matter will not be considered as a	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	<p>considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> • The issue giving rise to the complaint occurred over twelve months ago. • Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. • Matters that have previously been considered under the complaints policy. 		<p>complaint or escalated, and examples are set out in the policy, which ForHousing believe are fair and reasonable to residents.</p>	
2.3	<p>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.</p>	Yes	<p>Staff dealing with complaints are trained to identify the timeline of the complaint and if outside of this timescale, they are empowered to apply discretion where appropriate on a case-by-case basis.</p>	
2.4	<p>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.</p>	Yes	<p>If ForHousing decide not to accept a complaint, an explanation will 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 Housing Ombudsman. When a complaint is not accepted a record of the explanation given to the resident is recorded in ForHousings housing management system.</p>	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Complaints are considered, on receipt, on an individual basis.	

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 policy has been reviewed by the Council Housing Management Board. Using the DLUC guidance ForHousing will signpost tenants who say they need help to make a complaint to free advice organisations.	
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	The policy details all ways in which residents, and their representatives can report a complaint. Residents can raise a complaint with any member of ForHousing staff or appointed contractors. All ForHousing staff are aware of the complaints process and will pass a complaint to ForHousings Business Support team to record and manage.	
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	Yes	ForHousing have an accessible publicised complaints process. Staff throughout the organisation have been trained to understand that complaints are not to be	

	are potentially a sign that residents are unable to complain.		discouraged and are an opportunity to learn and improve services.	
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	Policy is publicised on the website.	
3.5	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.	Yes	The policy states ForHousing will produce an annual complaints performance and service improvement report. This report, is signed off by the Council Housing Management Board and is published in the complaints section of the ForHousing website.	
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	The policy states residents can authorise a representative to make a complaint and act on their on their behalf. This could be a friend, partner, relative or someone from an external organisation.	
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	This is publicised on the ForHousing website and all correspondence within the complaint handling process.	

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	ForHousing have in place a team for oversight of complaints management. This includes a staff member who solely handles certain stage 1 complaints, supported by their line manager. An appropriate complaints handler is defined in the policy as located in the team responsible for the service, but who has not been involved in the source of the complaint sufficiently to have a conflict of interest.	
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	All complaint handlers have access to all staff within HMC and are empowered to resolve disputes 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	ForHousing have embedded a culture which sees complaint handling as a priority and seeks to learn from the outcomes of complaints wherever possible. Quarterly complaint reviews are held with all ForHousing staff who deal with complaints. This is an opportunity to discuss learning from complaints and keep ForHousing staff up to date with developments in complaint handling. All ForHousing team meetings have a standard agenda item 'Resident feedback', to support learning from complaints, and Housing Ombudsman learning is shared where relevant.	

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	There is one complaint policy in place to deal with all complaints covered by this code. Residents are not treated differently should they complain.	
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	There are no additional stages to the complaint process and staff are trained to seek swift early resolution of complaints in agreement with residents.	
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 policy has a two-stage complaint 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	Where a complaint is made in relation to a service provided on ForHousings behalf, the complaint would be dealt with by ForHousing at all stages of the complaint process i.e. at stage 1 and stage 2. .	
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	The Council ensures that ForHousing handle complaints in line with the Code and regularly reviews the complaints that come into ForHousing via a Complaints Panel. The Complaints Panel consisting of lead Council officers and three tenants two of which sit on the Council Housing Management Board, review and select six	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			closed complaints and two live ones to review.	
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	Acknowledgement letters issued to complainants at stage 1 set out ForHousings understanding of the complaint. Residents are not required to explain their reasons for requesting a Stage 2. ForHousing will take reasonable efforts to understand why a customer remains unhappy as part of its Stage 2 response.	
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	Where part of a complaint is not the responsibility of the Council this would be made clear in the acknowledgement letter.	
5.8	At each stage of the complaints process, complaint handlers must: 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	Complaint handlers are trained to deal with complaints independently and on their own merits after considering all relevant information. The complaint handler will contact the resident to give them an opportunity for them to set out their position. Any conflict of interest would be addressed.	
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	Where it is not possible to respond to the complaint within the timescales set out in the code, agreement is reached with the resident and this is recorded in the housing management system.	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	The policy states ForHousing will endeavor to understand and make any reasonable adjustments required for customers in line with ForHousings Reasonable Adjustment Statement and the Equality Act 2010. Any reasonable adjustment provided will be recorded and kept under active review.	
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 policy explains this as repeated complaints which appear to have no substance, or which have already been through and exhausted our complaints handling. Should such circumstances arise the resident will receive the reasons in writing.	
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	Complaints are recorded in full on ForHousings housing management system. This includes details of contact with the complainant and other relevant parties.	
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	ForHousing staff have been trained to work with residents to identify a resolution to their complaint. This resolution can be provided at any stage in the complaint process. We would not expect a resident to have to escalate their complaint to achieve the resolution.	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	An Unreasonable Behaviour Procedure is in place and the availability of the policy is included in the 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.		<p>Vulnerabilities are accounted for in any service adjustment and a culture of person centred practice and decision making is enabled by ForHousings strategy framework:</p> <ul style="list-style-type: none"> • Equity, Diversion and Inclusion strategy • Tenant Voice strategy • Wellbeing strategy <p>The HEART principles and LIVEIT behavioural framework support a culture where staff recognise individual needs.</p> <p>Staff undertake mandatory training on the Equality Act 2010.</p>	

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	Yes	When a new complaint is received it is triaged and the resident contacted to discuss the detail of the complaint. At this	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.		point those complaints which can be provided with an early response or those which require further investigation are identified.	
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	Complainants are contacted within 5 working days of the complaint being received. This allows details of the complaint definition and preferred resolution to be clarified. An acknowledgement is given confirming these details.	
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 are responded to within 10 working days of being acknowledged. This is monitored for compliance and reported on weekly.	
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	All ForHousing staff responsible for handling complaints have been trained that extensions should be the exception and only where there is a good reason. No complaint will be extended without contact being made with the complainant to explain the reasons.	
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	ForHousing investigating officers are trained to share the Ombudsman details when extending a complaint timescale.	
6.6	A complaint response must be provided to the resident when the answer to the complaint is	Yes	All ForHousing staff responsible for handling complaints have been trained	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.		that they should provide a response to the complaint as soon as possible, without waiting for the resolution to be delivered, in line with the Code. Actions that form part of the resolution of a complaint are monitored and only closed once the resident has confirmed that they are satisfied.	
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 ForHousing staff responsible for handling complaints have been trained to cover all points raised within a complaint and provide a reason for any decisions given. Where appropriate relevant policies, law and good practice are referenced.	
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	Policy fully aligns to guidance.	
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; 	Yes	We use a letter template for the stage 1 response to ensure these details are provided in stage 1 responses.	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	<p>e. the details of any remedy offered to put things right;</p> <p>f. details of any outstanding actions; and</p> <p>g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</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 stage 2 of the landlord's procedure. Stage 2 is the landlord's final response.	Yes	Where a resident expresses that the resolution given at stage 1 is not to their satisfaction the complaint is escalated to stage 2. These escalations are handled by ForHousings Business Support function, recording any reason for refusal and notifying the resident in line with the code.	
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	Escalations are acknowledged within 5 working days of receipt. Acknowledgement includes definition of the complaint.	
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	An explanation of the reasons why a resident wishes to escalate are not a requirement for escalation. The ForHousing staff member who is assigned the stage 2 complaint will contact the resident to discuss the complaint and understand the issues as part of the process.	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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 2 complaints are handled by a ForHousing senior manager with no prior involvement in the case	
6.14	Landlords must issue a final response to the stage 2 within 20 working days of the complaint being acknowledged.	Yes	Stage 2 complaints have a timescale to respond set at 20 working days, in line with the Code. The focus is to review whether the stage 1 complaint was fully dealt with in line with the policy and therefore the Code. This will provide a review of the complaint to inform learning.	
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	Where a stage 2 complaint is particularly complex and will require an extension, this is discussed with the complainant and an extension agreed. An extension beyond 20 working days would be for exceptional circumstances only.	
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	Investigating officers are trained to share the Ombudsman details when extending a complaint timescale.	
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	All ForHousing staff responsible for handling complaints have been trained that they should provide a response to the complaint as soon as possible, without waiting for the resolution to be delivered. Actions that form part of the resolution of a complaint are monitored routinely. The action is only closed once the resident has confirmed that they are satisfied.	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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 ForHousing staff responsible for handling complaints have been trained to cover all points raised within a complaint and provide a reason for any decisions given. Where appropriate relevant policies, law and good practice are referenced.	
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: <ul style="list-style-type: none"> a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied. 	Yes	ForHousing use a letter template for the stage 2 responses to ensure these details are provided in the response.	
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	On receipt of a stage 2 complaint the ForHousing complaint handler will coordinate input with appropriate staff members to provide a comprehensive complaint response and resolve the issues.	

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	Stage 2 responses always set out actions which have been taken or will be taken to resolve the issue. Where something has gone wrong this will be acknowledged in the response along with an apology.	
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	The remedy offered in the resolution will consider the impact the fault has had on the complainant. The aim of the remedy is to return the resident to the position they would have been in had the service failure not occurred.	
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	Stage 2 responses set out the remedy and the timescale in which this will happen. Actions following complaints are monitored to completion.	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	When deciding on a remedy the Housing Ombudsman Service guidance will be considered.	Quarterly review sessions take place with all ForHousing operational Managers to discuss complaint management and remedies.

Section 8: Putting things right.

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	A separate Annual Complaints Performance Report has been produced that includes all the points as required by the Code.	Currently developing a set of Key Performance Indicators for Complaints which will be collected from September 2024 onwards.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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	This Self-Assessment Report will be presented to the Housing Management Board for formal sign off and a statement has been prepared.	
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	A self-assessment would be carried out following any of these circumstances taking place.	
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	If requested a review will be carried out.	
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 such circumstances were to occur these actions would be taken.	

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	As part of each complaint investigation, consideration is given to any improvements which can be made as a result. Additionally, the outcome of each	At the March 24 Board, the two Tenant Board Members that form

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			<p>complaint is recorded to allow trends and themes to be identified which is used to inform improvements.</p> <p>The Complaints Panel made up of Tenant Board Members, representatives from the Council and ForHousing review a selected sample of closed and current cases on a quarterly basis, and this forms part of their brief, and any improvements identified are reported to the Council Housing Management Board.</p>	<p>part of the Complaints Panel gave an update to their fellow Board members advising them of the key stats and themes from the complaints process.</p>
9.2	<p>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.</p>	Yes	<p>The outcomes of complaints are used as a key source of intelligence for improving services. Where the outcome of a complaint identifies an improvement, implementation of this is monitored via the Business Improvement Plan.</p> <p>All positive changes are reported to the Council Housing Management Board quarterly report.</p>	<p>Quarterly Complaint Review sessions are held involving all staff who handle complaints. This provides opportunity to discuss the outcome of complaints and improvements.</p>
9.3	<p>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.</p>	Yes	<p>The outcomes of a sample of complaints are reported to the Tenants Complaint Panel where they are reviewed and where appropriate challenged by resident panel members. Appropriate Service Managers attend the panel to assist in providing context. Learning from complaints forms the basis of 'You Said We Did' which is published quarterly on the ForHousing website. Also, a number</p>	<p>As per above, the Complaints Panel provide regular updates to the Council Housing Management Board.</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			of examples are featured in the Together with Tenants Charter Annual Report.	
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	The Senior Housing Policy Officer is responsible for complaint handling.	
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 Chair of the Council Housing Management Board who is also the Cabinet Member for Housing, Planning and Safer Communities is the Member Responsible for Complaints.	
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	A Complaint Handling Summary Report will be provided to the Council Housing Management Board on a quarterly basis.	
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: <ul style="list-style-type: none"> a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and 	Yes	As above a Complaint Handling Summary Report will be provided to the Council Housing Management Board that covers all the opposite requirements.	

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	d. annual complaints performance and service improvement report.			
9.8	<p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <p>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments.</p> <p>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</p> <p>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</p>	Yes	<p>Every ForHousing employee has a Behavioural objective based on the ForHousing LIVEIT Behavioural Framework. The framework has ForHousings values at its centre. It outlines the core behaviours which define 'how' ForHousing approach its work. These sit alongside 'what' ForHousing do, as outlined in each of the role profiles and service plans. By demonstrating these behaviours, colleagues will shape the culture along with HEART, ForHousings customer service commitment. All this contributes to the culture and ensures ForHousing meet the complaint handling objectives as described.</p>	

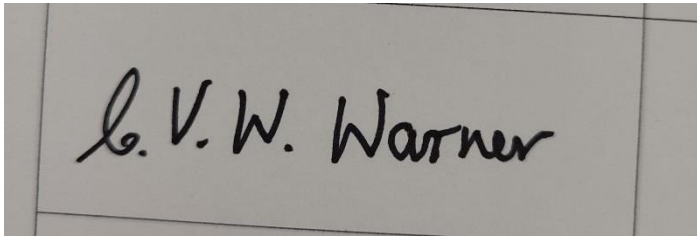
Statement from the Council Housing Management Board

As a Board, we are passionate about putting the needs of our tenants at the heart of everything we do, and we want the services we provide to our tenants to be responsive to their needs.

We want to ensure that wherever possible we get things right first time however, we recognise that sometimes we will get things wrong, and we want tenants to tell us when we haven't performed as well as we should have. We are keen to use the complaints process to learn from our mistakes and make improvements to the services we provide, so that going forward our tenants can receive services that continually improve. This annual report details the lessons learnt and our Together with Tenants Charter Annual Report also features examples of where we have learnt from the comments we have received from our tenants.

We want to ensure that our tenants receive the best housing management services that meet their housing needs and allow our tenants to live in good quality housing in safe and secure communities.

Sign off by Chair of the Council Housing Management Board

A photograph of a handwritten signature in black ink on a light-colored background. The signature reads "G. V. W. Warner" in a cursive, slightly slanted script. The signature is contained within a rectangular frame that appears to be a scan of a document page.

Councillor Christine Warner

**Chair of the Council Housing Management Board and
Cabinet Member for Homes, Planning and Safer Communities.**