

Appendix A: Self-assessment form - SHDC

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 complaint's 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
1.2	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	Feedback for Housing Landlord Service - South Holland District Council SHDC Compliments, Comments and Complaints Policy	This complaint definition is used on our website and is included in our Compliments, Comments and Complaints Policy
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	SHDC Compliments, Comments and Complaints Policy Complaint Workshops	A specific statement setting out this expectation / guidance is included in our Compliments, Comments and Complaints Policy, including how we deal with complaints from 3 rd parties Action – Complaint Workshops to take place through 26/27 with all internal staff, departments and Contractors to improve our access to complaints for tenants. Pop up events in communities to take

				place providing information to tenants about our complaints process
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.		Feedback for Housing Landlord Service - South Holland District Council SHDC Compliments, Comments and Complaints Policy Complaint Workshops	Our Policy highlights our 2-stage process for complaints and the difference between a complaint and a service request. All complaints received are triaged by our Complaints Co-Ordinator with support from the Manager. Action – Complaint Workshops to take place through 26/27 with all internal staff, departments and Contractors to improve understanding of the difference between a service request and complaint.
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		SHDC Compliments, Comments and Complaints Policy Complaints Working Group	Our Policy highlights this requirement. Our Complaints Working Groups of Team Leaders / Member Responsible for Complaints and Officer responsible for complaints

	the service request if the resident complains.			meets quarterly where performance against the code is analysed.
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.		Tenant Engagement events Letters Posters	Information on how to raise a complaint is available as footers on letter templates with details of the housing ombudsman, email signatures. Pop up events and Tenant Engagement events held throughout the year promote complaint handling. Posters are displayed in our community centres and communal spaces. Action Check all transactional surveys include signposting to Complaints.

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		Feedback for Housing Landlord Service - South Holland District Council SHDC Compliments, Comments and Complaints Policy	All complaints received are triaged by our Complaints Co-Ordinator with support from the Manager. Exclusions for complaints are set out in the Policy and on the Website. Should a matter not be brought through our complaints process then the complainant receives written confirmation as to why.
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"> <li data-bbox="360 1209 853 1316">• The issue giving rise to the complaint occurred over twelve months ago. 		Feedback for Housing Landlord Service - South Holland District Council SHDC Compliments, Comments and Complaints Policy	Exclusions for complaints and timeframes for raising complaints are set out in the Policy and on the Website. Should a matter not be brought through our complaints process then the complainant receives written confirmation as to why.

	<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. 			
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.		Feedback for Housing Landlord Service - South Holland District Council SHDC Compliments, Comments and Complaints Policy	Timescales for accepting complaints is defined in our Policy and on our website All complaints are assessed on their own merits. Action – Complaint Workshops to take place through 26/27 with all internal staff, departments and Contractors to clarify understanding of timescales when complaints raised.
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.		SHDC Compliments, Comments and Complaints Policy	This is detailed in our and signposting to the correct service / process to undertaken by our complaints co-ordinator

2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.		SHDC Compliments, Comments and Complaints Policy	Each case is considered on its own merits, investigations undertaken and personal responses provided
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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.		Feedback for Housing Landlord Service - South Holland District Council SHDC Compliments, Comments and Complaints Policy EIA form	Complaints are able to be raised in a variety of ways, email, face to face, telephone, letter and on-line – in our policy and detailed on our website Our Policy undertook a Equality Impact Assessment.
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.		Feedback for Housing Landlord Service - South Holland District Council SHDC Compliments, Comments and Complaints Policy Complaint Workshops	HousingComplaints@sholland.gov.uk is a central email address where all complaints are directed – this is to ensure they are logged and responded to appropriately. Residents are able to raise a complaint by any means that suits them best. Staff / internal departments are aware of this email address and reminded to forward details as they receive them and this is monitored on a quarterly basis by our complaints working group to ensure we are receiving complaints

				<p>from all departments and sources available.</p> <p>Action</p> <p>– Complaint Workshops to take place through 26/27 with all internal staff, departments and Contractors to remind them about our Complaints process</p>
3.3	<p>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.</p>		<p>Feedback for Housing Landlord Service - South Holland District Council</p> <p>SHDC Compliments, Comments and Complaints Policy</p> <p>Compliance Clinic Papers</p> <p>Complaints Working Group Papers</p> <p>Tenant Influence Panel Papers</p>	<p>Statement in our Policy welcoming all feedback as positive and on our website.</p> <p>Complaint volumes monitored and scrutinised through our Compliance Clinic by our PFH, Assistant Director, Director and Senior Managers, our Complaints Working Group and our Tenant Influence Panel.</p>
3.4	<p>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.</p>		<p>Feedback for Housing Landlord Service - South Holland District Council</p> <p>SHDC Compliments, Comments and Complaints Policy</p> <p>Letter templates</p>	<p>The complaint process is clear on the website and the full policy is available for download, letter templates have information about the complaints process with details of the housing ombudsman</p> <p>Action</p> <p>Work with tenants to devise a clear simple leaflet re complaints.</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.		Feedback for Housing Landlord Service - South Holland District Council SHDC Compliments, Comments and Complaints Policy Letter templates	Information about the HO and our assessment against the code is included in the policy and on our 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.		Feedback for Housing Landlord Service - South Holland District Council SHDC Compliments, Comments and Complaints Policy	Residents are informed that they are able to have a representative act on their behalf and are also given the opportunity to be accompanied during any meetings. This is referenced on our website and in our policy.
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.		Feedback for Housing Landlord Service - South Holland District Council SHDC Compliments, Comments and Complaints Policy	Details on how to access the ombudsman are set out on our website and in our Policy. At all stages in our complaints process information about the Housing Ombudsman is provided

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.		Staff Structure SHDC Compliments, Comments and Complaints Policy	SHDC has a Complaints Co-Ordinator who administers the internal complaints process and the Tenant Engagement and Influence Lead who act as the "Complaints Officer" overseen by the Service Director for Housing.
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.		Complaints Process SHDC Compliments, Comments and Complaints Policy.	The Complaints Co-Ordinator and Tenant Engagement and Influence Lead are able to contact staff at all levels.
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		SHDC Compliments, Comments and Complaints Policy Performance and Clinic reports	Performance and learning from complaints is discussed at various levels and scrutinised through our Compliance Clinic by our PFH, Service Director for Housing, Executive Director for Communities and Senior Managers, our Complaints Working Group and our

				<p>Tenant Influence Panel, PMP quarterly</p> <p>Action</p> <p>– Complaint Workshops to take place through 26/27 with all internal staff, departments and Contractors to remind them about recording and implementing learnings</p>
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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.		<p>Feedback for Housing Landlord Service - South Holland District Council</p> <p>SHDC Compliments, Comments and Complaints Policy</p> <p>Tenant Forum literature</p>	Single policy in place which is available on our website. Tenants who complain are not treated differently and encouraged to complain and join our Tenant Forum to have their voice heard
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.		SHDC Compliments, Comments and Complaints Policy	SHDC policy has 2 stages in line with the HO Complaint Handling Code. Staff are encouraged to deliver early resolution where possible, but this does not hinder the tenants

				right to access the full complaints process.
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.		SHDC Compliments, Comments and Complaints Policy	SHDC policy has 2 stages in line with the HO Complaint Handling Code.
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.		SHDC Compliments, Comments and Complaints Policy	Policy does not allow for 3 rd party responses Action – Complaint Workshops to take place through 26/27 with all internal staff, departments and Contractors to remind them that all complaints regarding contractors should come through SHDC
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.		SHDC Compliments, Comments and Complaints Policy	Policy does not allow for 3 rd party responses
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,		SHDC Compliments, Comments and Complaints Policy Template letters Complaints Process	When a complaint is raised our Co-Ordinator will contact the complainant directly to ensure that our understanding of the complaint and the resolution sought is correct. This is then clearly set out in our acknowledgement letters

	the resident must be asked for clarification.			with a further opportunity for the complainant to challenge this understanding.
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.		SHDC Compliments, Comments and Complaints Policy Template letters Complaints Process	Should there be issues raised within a complaint which SHDC are not responsible for this is explained to the complainant and relevant signposting will be offered.
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. 		SHDC Compliments, Comments and Complaints Policy Template letters Complaints Process	The Complaints Co-Ordinator and associated Team work with complaint investigators to ensure they understand these requirements. All complaint responses are reviewed before they are sent to the complainant to ensure they are complete and fulfil these requirements. Any conflicts of interest are identified and complaints allocated accordingly. Sample audits of complaint responses Action Sign off responses by Complaints Officer to be introduced

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.		SHDC Compliments, Comments and Complaints Policy Complaints Process	We are committed and our performance scrutinised to responding to complaints within the agreed timescales. When this is not possible the Complaints Co-Ordinator will contact the complainant directly to explain the reason for any delay, provide clarity on when a response will be provided and agree suitable and convenient times and ways of keeping the complainant updated on progress.
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.		Reasonable Adjustments Policy SHDC Compliments, Comments and Complaints Policy	Our Reasonable Adjustments policy highlights our actions to take. All adjustments are noted on our Housing Management system when declared, the system is checked when a complaint is received and communicated to the complaint investigator
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		SHDC Compliments, Comments and Complaints Policy Template letters	All Stage 1 responses specifically set out how to escalate to stage 2 and both stage 1 and stage 2 responses signpost how to

	must comply with the provisions set out in section 2 of this Code.		Complaints Process Feedback for Housing Landlord Service - South Holland District Council	escalate to the Housing Ombudsman. Our website also gives this information.
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.		SHDC Compliments, Comments and Complaints Policy Complaints Process Complaints Spreadsheet	All complaints are given reference numbers and recorded on a central spreadsheet. Copies of complaints and all related correspondence are held in a secure Sharepoint site managed by the Complaints Co-Ordinator in-line with GDPR and retention periods
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.		SHDC Compliments, Comments and Complaints Policy Complaints Process	We always endeavour to remedy a complaint at the earliest possible stage and have transparency and dialogue with tenants throughout the process.
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.		SHDC Compliments, Comments and Complaints Policy ASB Policy Unacceptable & unreasonable behaviour process	We have an ASB Policy (draft) and follow our Corporate Unreasonably Persistent Complaints, Customer Behaviour and Vexatious Requests Policy. Our policy also states how we deal with this

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.		SHDC Compliments, Comments and Complaints Policy	Detailed in our policy
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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.		Complaints Working Group Complaints Spreadsheet	The Complaints Co-Ordinator work with complaint investigators to provide an early response wherever possible and work to adapt our approach if we are aware of any vulnerabilities or risks. Evidence saved on master spreadsheet and reported at our Quarterly Complaints Working Group
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>		SHDC Compliments, Comments and Complaints Policy Complaints Process	Our policy and process adhere to this timescale and is only not achieved if a complaint does not come directly to our central point of contact in a timely manner.
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.		SHDC Compliments, Comments and Complaints Policy Complaints Process	Our policy and process adhere to this timescale and is only not achieved if a complaint does not come directly to our central point

				of contact in a timely manner.
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.		SHDC Compliments, Comments and Complaints Policy Complaints Process Complaints Working Group Complaints Spreadsheet	The Complaints Co-Ordinator remains in close contact with the complaint investigator through the process to ensure that a response can be provided within the target timescales. If at any point in the investigation it is determine that an extension is needed, this will be fully communicated to the tenant and the extension aimed to be as short as possible. Extensions are usually arranged due to availability of the tenant or complexity of the complaint and evidence to collate to resolve the complaint.
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.		Feedback for Housing Landlord Service - South Holland District Council SHDC Compliments, Comments and Complaints Policy	The Housing Ombudsman details are included on our website on all of our template letters. If an extension is sought a copy of the communication is saved on file Action

				Check all emails, letters re extensions include HO details
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.		Feedback for Housing Landlord Service - South Holland District Council SHDC Compliments, Comments and Complaints Policy	Complaint responses are sent to the complainant once the circumstances have been established and set out any actions / learnings that have been agreed. Learnings and Actions are recorded. Action Sample audit learnings and actions to provide assurance taken place
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.		SHDC Compliments, Comments and Complaints Policy Template letters Complaints Process	As part of our acknowledgement the Co-Ordinator will clearly define our understanding of the complaint and the complainant is given chance to clarify/add anything we have missed. The full response will consider each aspect separately, referencing any law or good practice. The Complaint Investigator will contact the complainant to ensure they understand the reasons behind any outcomes before a response is issued.

6.8	<p>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.</p>		<p>SHDC Compliments, Comments and Complaints Policy</p> <p>Template letters</p> <p>Complaints Process</p>	<p>For the benefit of the tenant we will usually work with them to provide one Officer to co-ordinate any complaints regarding multiple service areas – so the complainant only has one Officer to contact. However we will log each issue separately to ensure we capture all issues and can track actions and learnings from these. One response will be provided to cover all of the issues raised.</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> <ol 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. 		<p>SHDC Compliments, Comments and Complaints Policy</p> <p>Template letters</p> <p>Complaints Process</p>	<p>All of these elements are included in our Stage 1 complaints letters and are reviewed before issue.</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.		Feedback for Housing Landlord Service - South Holland District Council SHDC Compliments, Comments and Complaints Policy	This is set out in our Policy and on our website.
CHE	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.		SHDC Compliments, Comments and Complaints Policy	Our policy and process adhere to this timescale
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.		SHDC Compliments, Comments and Complaints Policy	Our policy and process adhere to this and in line with the code
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.		SHDC Compliments, Comments and Complaints Policy	Our policy and process adhere to this and in line with the code
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.		SHDC Compliments, Comments and Complaints Policy Complaints Working Group	Our policy and process adhere to this and in line with the code. Performance is monitored and presented to a monthly compliance

				<p>clinic and quarterly complaints working group and to our Tenants via our Panel and Focus Group</p>
6.15	<p>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.</p>		<p>SHDC Compliments, Comments and Complaints Policy</p> <p>Complaints Process</p> <p>Complaints Working Group</p> <p>Complaints Spreadsheet</p>	<p>The Complaints Co-Ordinator remains in close contact with the complaint investigator through the process to ensure that a response can be provided within the target timescales.</p> <p>If at any point in the investigation it is determine that an extension is needed, this will be fully communicated to the tenant and the extension aimed to be as short as possible.</p> <p>Extensions are usually arranged due to availability of the tenant or complexity of the complaint and evidence to collate to resolve the complaint.</p>
6.16	<p>When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.</p>		<p>Feedback for Housing Landlord Service - South Holland District Council</p> <p>SHDC Compliments, Comments and Complaints Policy</p>	<p>The Housing Ombudsman details are included on our website on all of our template letters.</p> <p>If an extension is sought a copy of the communication is saved on file</p>

				<p>Action Check all emails, letters re extensions include HO details</p>
6.17	<p>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.</p>		<p>Feedback for Housing Landlord Service - South Holland District Council</p> <p>SHDC Compliments, Comments and Complaints Policy</p>	<p>Complaint responses are sent to the complainant once the circumstances have been established and set out any actions / learnings that have been agreed. Learnings and Actions are recorded.</p> <p>Action Sample audit learnings and actions to provide assurance taken place</p>
6.18	<p>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.</p>		<p>SHDC Compliments, Comments and Complaints Policy</p> <p>Template letters</p> <p>Complaints Process</p>	<p>As part of our acknowledgement the Co-Ordinator will clearly define our understanding of the complaint and the complainant is given chance to clarify/add anything we have missed. The full response will consider each aspect separately, referencing any law or good practice. The Complaint Investigator will contact the complainant to ensure they understand the reasons</p>

				behind any outcomes before a response is issued.
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. 		SHDC Compliments, Comments and Complaints Policy Template letters Complaints Process	All of these elements are included in our Stage 2 complaints letters and are reviewed before issue.
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.		SHDC Compliments, Comments and Complaints Policy Template letters Complaints Process	Stage 2 investigations are undertaken by a Senior Service Manager or the Assistant Director for Housing.

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		SHDC Compliments, Comments and Complaints Policy	Where it is determined something has gone wrong,

	<p>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. 		<p>Complaints Process</p>	<p>SHDC are committed to putting it right and will provide a suitable remedy including a written apology with our complaint response detailing any actions we have taken or will take to put things right. Suitable remedies are available in our Policy.</p> <p>Action Draft a Compensation Policy in line with Housing Ombudsman guidance</p>
7.2	<p>Any remedy offered must reflect the impact on the resident as a result of any fault identified.</p>		<p>SHDC Compliments, Comments and Complaints Policy</p> <p>Complaints Process</p>	<p>Suitable remedies are available in our Policy.</p> <p>Action Draft a Compensation Policy in line with Housing Ombudsman guidance</p>
7.3	<p>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.</p>		<p>SHDC Compliments, Comments and Complaints Policy</p> <p>Complaints Process</p> <p>Sample audits</p>	<p>All complaint responses clearly set out what the proposed remedy is, what we will do and when. These actions are monitored by the Complaints Co-</p>

				<p>Ordinator to ensure they are being kept</p> <p>Action</p> <p>Sample audit all actions to ensure complete</p>
7.4	<p>Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.</p>		<p>SHDC Compliments, Comments and Complaints Policy</p> <p>Complaints Process</p>	<p>Our Policy follows HO guidance</p> <p>Action</p> <p>Draft a Compensation Policy in line with Housing Ombudsman guidance</p>

Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <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 f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. 		<p>Annual Complaints Performance and Service Improvement Report</p> <p>Reports to PMP, TIP and Cabinet</p>	<p>Our Annual Complaints and Service Improvement Report has been produced and is presented to Performance Monitoring Panel, our Tenant Influence Panel and then Cabinet for scrutiny and comment.</p> <p>Once adopted it will be shared on our website.</p> <p>A Tenant version will be supplied to tenants at our Tenants Forum and Complaints and Performance Focus Group</p> <p>Complaints information is also shared as part of SHDC Annual Report</p>

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.		Annual Complaints Performance and Service Improvement Report Reports to PMP, TIP and Cabinet	Our Annual Complaints and Service Improvement Report has been produced and is presented to Performance Monitoring Panel, our Tenant Influence Panel and then Cabinet for scrutiny and comment. Once adopted it will be shared on our website. A Tenant version will be supplied to tenants at out Tenants Forum and Complaints and Performance Focus Group Complaints information is also shared as part of SHDC Annual Report
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.		NA	Not currently applicable
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.		NA	No requests from the Ombudsman have been received but would be adhered to
8.5	If a landlord is unable to comply with the Code due to exceptional circumstances, such as a cyber		NA	No incident has occurred at SHDC

	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.			
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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.		Complaint actions and learnings tracker Quarterly Complaints Working Group	A new complaints actions and lessons learnt tracker has been implemented to ensure that identified actions and learnings are followed through to completion. These are monitored via quarterly Complaints Working Group meetings.
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.		Complaint actions and learnings tracker Quarterly Complaints Working Group	A new complaints actions and lessons learnt tracker has been implemented to ensure that identified actions and learnings are followed through to completion. These are monitored via quarterly Complaints Working Group meetings. Trends are identified, discussed and further information and investigation requested of teams.

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.		Feedback for Housing Landlord Service - South Holland District Council Complaint and Performance Focus Group papers Tenant Influence Panel Papers Tenant Forum papers	Complaint performance is discussed with tenants at our Complaints and Performance Focus Group and scrutinised by our Tenant Influence Panel – with wider information being put onto our website and condensed information sent to our Tenants Forum
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.		Feedback for Housing Landlord Service - South Holland District Council SHDC Compliments, Comments and Complaints Policy	SHDC has a Complaints Co-Ordinator and a Tenant Engagement and Influence Lead who is the Lead Officer for Complaints
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').		Feedback for Housing Landlord Service - South Holland District Council SHDC Compliments, Comments and Complaints Policy	The Portfolio Holder for Strategic and Operational Housing is designated 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		Complaints Working Group papers Compliance Clinic Papers PMP performance report	MRC attends the quarterly Complaints Working Group meetings to scrutinise service performance and also attends monthly compliance clinic for an

	information and staff to perform this role and report on their findings.			overview. PMP receive quarterly overviews of complaints performance
9.7	<p>As a minimum, the MRC and the governing body (or equivalent) must receive:</p> <p>a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;</p> <p>b. regular reviews of issues and trends arising from complaint handling;</p> <p>c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and</p> <p>d. annual complaints performance and service improvement report.</p>		<p>Complaints Working Group papers</p> <p>Compliance Clinic Papers</p> <p>PMP performance report</p>	<p>MRC attends the quarterly Complaints Working Group meetings to scrutinise service performance and also attends monthly compliance clinic for an overview. PMP receive quarterly overviews of complaints performance</p>
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>SHDC Compliments, Comments and Complaints Policy</p>	<p>These objectives are set out in our Policy and as part of induction staff are provided with information on complaints.</p> <p>Senior Officers, Team Leaders and Senior Managers have regular meetings and sessions on complaint handling and how to embrace lessons learned</p>

	c. act within the professional standards for engaging with complaints as set by any relevant professional body.			
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