

# Housing Ombudsman Complaints Handling Self-Assessment Form

Review completed in April 2023

This self-assessment form should be completed by the complaints officer and discussed at the landlord's governing body annually.

Evidence should be included to support all statements with additional commentary as necessary.

Explanations must also be provided where a mandatory 'must' requirement is not met to set out the rationale for the alternative approach adopted and why this delivers a better outcome.

## Section 1 - Definition of a complaint

### Mandatory 'must' requirements

| Code section | Code requirement  | Comply: Yes/No | Evidence, commentary and any explanations  |
|--------------|---|----------------|--|
| 1.2          | A complaint must be defined as:<br><br><i>'an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the organisation, its own staff, or those acting on its behalf, affecting an individual resident or group of residents.'</i> | Yes            | This definition is specified in our new Complaints Policy, which went live on 31 March 2023.   |
| 1.3          | The resident does not have to use the word 'complaint' for it to be treated as such. A complaint that is submitted via a third party or representative must still be handled in line with the landlord's complaints policy.   | Yes            | Communications are triaged at first point of contact to determine if a complaint exists regardless of whether the word "complaint" is mentioned. We also accept submissions from third parties, advocates and representatives. |
| 1.6          | ... if further enquiries are needed to resolve the matter, or if the resident requests it, the issue must be logged as a complaint.   | Yes            | Complaints can require additional investigation, but the matter will still be logged as a complaint.   |
| 1.7          | A landlord must accept a complaint unless there is a valid reason not to do so.   | Yes            | Any requests for service can be escalated to a complaint and our new policy, to be launched in March 2023, will clarify this further.  |

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| <b>1.8</b> | A complaints policy must clearly set out the circumstances in which a matter will not be considered, and these circumstances should be fair and reasonable to residents.   | Yes | This is specified in our new Complaints Policy, which went live on 31 March 2023. |
| <b>1.9</b> | If a landlord decides not to accept a complaint, a detailed explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman. | Yes | This is specified in our new Complaints Policy, which went live on 31 March 2023. |

### Best practice 'should' requirements

| <b>Code section</b> | <b>Code requirement</b>   | <b>Comply: Yes/No</b> | <b>Evidence, commentary and any explanations</b>   |
|---------------------|---|-----------------------|--|
| <b>1.4</b>          | Landlords should recognise the difference between a <b>service request</b> , where a resident may be unhappy with a <b>situation</b> that they wish to have rectified, and a <b>complaint</b> about the <b>service</b> they have/have not received. | Yes                   | This is specified in our new Complaints Policy, which went live on 31 March 2023.  |
| <b>1.5</b>          | Survey feedback may not necessarily need to be treated as a complaint, though, where possible, the person completing the survey should be made aware of how they can pursue their dissatisfaction as a complaint if they wish to.                   | Yes                   | Survey responses are returned to our Tenant Engagement Team who will respond to any issues raised by contacting the resident and, where appropriate and with consent, escalate through the complaints process. |

### Section 2 - Accessibility and awareness

#### Mandatory 'must' requirements

| <b>Code section</b> | <b>Code requirement</b> | <b>Comply: Yes/No</b> | <b>Evidence, commentary and any explanations</b> |
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| 2.1 | Landlords must make it easy for residents to complain by providing different channels through which residents can make a complaint such as in person, over the telephone, in writing, by email and digitally. While the Ombudsman recognises that it may not be feasible for a landlord to use all of the potential channels, there must be more than one route of access into the complaints system. | Yes | Complaints can be submitted in person at any of the local council offices, by telephone, in writing, by email, digitally via our online web forms as well as face to face with CHL staff. Feedback forms are available on the Cornwall Housing and Cornwall Council websites. We also monitor social media such as Twitter and Facebook should anyone highlight a particular issue or submit a complaint. |
| 2.3 | Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the number of stages involved, what will happen at each stage and the timeframes for responding.  | Yes | Our Policy is available on our website and is also sent to those raising a complaint with the acknowledgement letter/email.   |
| 2.4 | Landlord websites, if they exist, must include information on how to raise a complaint. The complaints policy and process must be easy to find on the website.  | Yes | There is a dedicated customer feedback page on our website, which includes this information.  |
| 2.5 | Landlords must comply with the Equality Act 2010 and may need to adapt normal policies, procedures, or processes to accommodate an individual's needs. Landlords must satisfy themselves that their policy sets out how they will respond to reasonable adjustments requests in line with the Equality Act and that complaints handlers have had appropriate training to deal with such requests.     | Yes | This is specified in our new Complaints Policy, which went live on 31 March 2023.   |
| 2.6 | Landlords must publicise the complaints policy and process, the Complaint Handling Code and the Housing Ombudsman Scheme in leaflets, posters, newsletters, online and as part of regular correspondence with residents.  | Yes | We publicise our complaints policy online and verbally in calls with residents. We also include details on how to escalate or seek guidance and advice from the HOS in our Policy as well as in our Stage 1 and Stage 2 response letters/emails. We have recently reviewed the format of our newsletter and will include regular complaints features.   |

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| 2.7 | Landlords must provide residents with contact information for the Ombudsman as part of its regular correspondence with residents.  | Yes | We include the Ombudsman contact details via our website and complaints letters. We will include them in newsletters, in whatever format they take.  |
| 2.8 | Landlords must provide early advice to residents regarding their right to access the Housing Ombudsman Service throughout their complaint, not only when the landlord's complaints process is exhausted. | Yes | As noted in our complaint acknowledgement letters, we provide a copy of our Complaints Policy and in our Step 1 and 2 responses we provide website and phone number contact details for the HOS. |

### Best practice 'should' requirements

| Code section | Code requirement   | Comply: Yes/No | Evidence, commentary and any explanations   |
|--------------|--|----------------|---|
| 2.2          | Where a landlord has set up channels to communicate with its residents via social media, then it should expect to receive complaints via those channels. Policies should contain details of the steps that will be taken when a complaint is received via social media and how confidentiality and privacy will be maintained. | Yes            | This is specified in our new Complaints Policy, which went live on 31 March 2023. |

### Section 3 - Complaint handling personnel

#### Mandatory 'must' requirements

| Code section | Code requirement  | Comply: Yes/No | Evidence, commentary and any explanations       |
|--------------|---|----------------|---|
| 3.1          | Landlords must have a person or team assigned to take responsibility for complaint handling to ensure complaints receive the necessary attention, and that these are reported to the governing body. This Code will refer to that person or team as the "complaints officer". | Yes            | We have 2 x dedicated Complaints Officer roles. |

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| 3.2 | ...the complaint handler appointed must have appropriate complaint handling skills and no conflicts of interest. | Yes | All staff complaint training has taken place in March and April 2023. The Complaints Officers are available to provide additional support if required. |
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### Best practice 'should' requirements

| Code section | Code requirement  | Comply: Yes/No | Evidence, commentary and any explanations  |
|--------------|---|----------------|--|
| 3.3          | Complaint handlers should: <ul style="list-style-type: none"> <li>• be able to act sensitively and fairly</li> <li>• be trained to handle complaints and deal with distressed and upset residents</li> <li>• have access to staff at all levels to facilitate quick resolution of complaints</li> <li>• have the authority and autonomy to act to resolve disputes quickly and fairly.</li> </ul> | Yes            | As an organisation there are opportunities to participate in training concerning dealing with distressed, upset residents and to adapt our ways of working should someone need/request a different approach to dealing with them and their complaint. Complaint officers have access to staff who can assist with quick resolutions. Our new Complaint Policy makes it clear that resolving issues for our customers is a priority and staff are empowered to do that. |

## Section 4 - Complaint handling principles

### Mandatory 'must' requirements

| Code section | Code requirement  | Comply: Yes/No | Evidence, commentary and any explanations   |
|--------------|---|----------------|---|
| 4.1          | Any decision to try and resolve a concern must be taken in agreement with the resident and a landlord's audit trail/records should be able to demonstrate this. Landlords must ensure that efforts to resolve a resident's concerns do not obstruct access to the | Yes            | Our complaints policy is clear that there is a 2-step process – Stage 1 and Stage 2 internal and then escalation to the HOS. Our Complaints Policy specifies complaints will be acknowledged within 3 |

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|     | complaints procedure or result in any unreasonable delay. It is not appropriate to have extra named stages (such as 'stage 0' or 'pre-complaint stage') as this causes unnecessary confusion for residents. When a complaint is made, it must be acknowledged and logged at stage one of the complaints procedure <b>within five days of receipt</b> .  |     | working days of receipt.   |
| 4.2 | Within the complaint acknowledgement, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. If any aspect of the complaint is unclear, the resident must be asked for clarification and the full definition agreed between both parties.  | Yes | Our acknowledgement letter template complies with these requirements.  |
| 4.6 | A complaint investigation must be conducted in an impartial manner.   | Yes | Our complaints officers, who have oversight of all complaints, are part of a stand-alone team reporting directly into the Head of Customer Services and Business Support with no associations with other Directorates.<br>In line with the current policy different officers, customers are involved at Stage 2. |
| 4.7 | The complaint handler must: <ul style="list-style-type: none"> <li>• deal with complaints on their merits</li> <li>• act independently and have an open mind</li> <li>• take measures to address any actual or perceived conflict of interest</li> <li>• consider all information and evidence carefully</li> <li>• keep the complaint confidential as far as possible, with information only disclosed if necessary to properly investigate the matter.</li> </ul> | Yes | This is part of our complaint officer training.  |

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| 4.11 | Landlords must adhere to any reasonable arrangements agreed with residents in terms of frequency and method of communication  | Yes | Complaints training for all staff covers ensuring a rapport is built with customers and regular communication in line with customer preferences are adhered to wherever possible.             |
| 4.12 | The resident, and if applicable any staff member who is the subject of the complaint, must also be given a fair chance to: <ul style="list-style-type: none"> <li>• set out their position</li> <li>• comment on any adverse findings before a final decision is made.</li> </ul>   | Yes | This is part of our specific complaint officer and general staff training. It is also reiterated to the individual should a complaint be received about a specific member of staff.           |
| 4.13 | A landlord must include in its complaints policy its timescales for a resident to request escalation of a complaint   | Yes | This is specified in our new Complaints Policy.   |
| 4.14 | A landlord must not unreasonably refuse to escalate a complaint through all stages of the complaints procedure and must have clear and valid reasons for taking that course of action. Reasons for declining to escalate a complaint must be clearly set out in a landlord's complaints policy and must be the same as the reasons for not accepting a complaint. | Yes | We will not unreasonably refuse to escalate a complaint through all stages of the complaint procedure. This is specified in our new Complaints Policy.  |
| 4.15 | A full record must be kept of the complaint, any review and the outcomes at each stage. This must include the original complaint and the date received, all correspondence with the resident, correspondence with other parties and any reports or surveys prepared.  | Yes | Complaints are logged on our system where complaint officers have access to all complaint cases. Each complaint has its own reference and all associated documents are stored with each case. |
| 4.18 | Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives when pursuing a complaint.   | Yes | This is specified within our new Complaints Policy.   |

**Best practice 'should' requirements**

| Code section | Code requirement   | Comply:<br>Yes/No | Evidence, commentary and any explanations  |
|--------------|--|-------------------|--|
| 4.3          | Landlords should manage residents' expectations from the outset, being clear where a desired outcome is unreasonable or unrealistic  | Yes               | This will be covered in our acknowledgement letter or phone call to the resident upon receipt of their complaint.  |
| 4.4          | A complaint should be resolved at the earliest possible opportunity, having assessed what evidence is needed to fully consider the issues, what outcome would resolve the matter for the resident and whether there are any urgent actions required. | Yes               | Complaints Officers and investigating officers are empowered to offer resolutions.   |
| 4.5          | Landlords should give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any meeting with the landlord where this is reasonable.                                  | Yes               | This is welcomed and clearly noted in our complaints policy.   |
| 4.8          | Where a key issue of a complaint relates to the parties' legal obligations landlords should clearly set out their understanding of the obligations of both parties.  | Yes               | Obligations of both parties are clearly set out in the secured tenancy agreement. We do remind our residents in our responses of their obligations under their tenancy agreement should complaints arise from ASB or insurance type positions.   |
| 4.9          | Communication with the resident should not generally identify individual members of staff or contractors.  | Yes               | We would not identify individuals should they not be mentioned in the original complaint however there are times when the resident's complaint clearly mentions an individual or specific contractor. We would then respond appropriately without volunteering any additional information. |
| 4.10         | Landlords should keep residents regularly updated about the progress of the investigation.   | Yes               | This is specified in the new Complaints Policy.  |



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| 4.16 | Landlords should seek feedback from residents in relation to the landlord's complaint handling as part of the drive to encourage a positive complaint and learning culture.  | Yes | Residents are contacted about surveys by our Tenant Engagement Team as well as having access to "My Views" which is on our webpage for which our Tenant Engagement team is responsible. It is our intention to implement a specific complaint satisfaction survey by late 2023. |
| 4.17 | Landlords should recognise the impact that being complained about can have on future service delivery. Landlords should ensure that staff are supported and engaged in the complaints process, including the learning that can be gained | Yes | Individuals are supported through the complaints process by their line manager or colleague (as preferred). Further support can be sought from HR on a case by case basis.  |
| 4.19 | Any restrictions placed on a resident's contact due to unacceptable behaviour should be appropriate to their needs and should demonstrate regard for the provisions of the Equality Act 2010.  | Yes | This is specified within our new Complaint Policy.  |

## Section 5 - Complaint stages

### Mandatory 'must' requirements

#### Stage 1

| Code section | Code requirement   | Comply: Yes/No | Evidence, commentary and any explanations   |
|--------------|--|----------------|---|
| 5.1          | Landlords must respond to the complaint <b><u>within 10 working days</u></b> of the complaint being logged. Exceptionally, landlords may provide an explanation to the resident containing a clear timeframe for when the response will be received. This should not exceed a further 10 days without good reason. | Yes            | This is specified within our new Complaint Policy and explained to residents in our acknowledgement letter/email. |
| 5.5          | A complaint response must be sent to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue, are completed. Outstanding actions must still be tracked and actioned expeditiously with regular updates provided to the resident.                    | Yes            | This is specified within our new Complaint Policy.  |

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| <b>5.6</b> | Landlords must address all points raised in the complaint and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.  | Yes | We specifically number each point of any complex or multi-faceted complaint in our acknowledgement letter to ensure we have fully understood all points of the complaint. |
| <b>5.8</b> | Landlords must confirm the following in writing to the resident at the completion of stage one in clear, plain language: <ul style="list-style-type: none"> <li>• the complaint stage</li> <li>• the decision on the complaint</li> <li>• the reasons for any decisions made</li> <li>• the details of any remedy offered to put things right</li> <li>• details of any outstanding actions</li> <li>• details of how to escalate the matter to stage two if the resident is not satisfied with the answer</li> </ul> | Yes | This is covered in our Stage 1 and Stage 2 complaint response letters/emails.   |

## Stage 2

| <b>Code section</b> | <b>Code requirement</b>  | <b>Comply: Yes/No</b> | <b>Evidence, commentary and any explanations</b>  |
|---------------------|--|-----------------------|---|
| <b>5.9</b>          | If all or part of the complaint is not resolved to the resident's satisfaction at stage one it must be progressed to stage two of the landlord's procedure, unless an exclusion ground now applies. In instances where a landlord declines to escalate a complaint it must clearly communicate in writing its reasons for not escalating as well as the resident's right to approach the Ombudsman about its decision. | Yes                   | This is included in our complaints policy and reiterated in Stage 1 responses as appropriate. |
| <b>5.10</b>         | On receipt of the escalation request, landlords must set out their understanding of issues outstanding and the outcomes the resident is seeking. If any aspect of the complaint is unclear, the resident must be asked for clarification and the full definition agreed between both parties.  | Yes                   | This is included in our Stage 2 acknowledgement.  |
| <b>5.11</b>         | Landlords must only escalate a complaint to stage two once it has completed stage one and at the request of the resident.  | Yes                   | This is specified within our new Complaint Policy.  |

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| 5.12 | The person considering the complaint at stage two, must not be the same person that considered the complaint at stage one.   | Yes | This is specified within our new Complaint Policy.   |
| 5.13 | Landlords must respond to the stage two complaint <b><u>within 20 working days</u></b> of the complaint being escalated. Exceptionally, landlords may provide an explanation to the resident containing a clear timeframe for when the response will be received. This should not exceed a further 10 days without good reason.  | Yes | This is specified within our new Complaint Policy.   |
| 5.16 | <p>Landlords must confirm the following in writing to the resident at the completion of stage two in clear, plain language:</p> <ul style="list-style-type: none"> <li>• the complaint stage</li> <li>• the complaint definition</li> <li>• the decision on the complaint</li> <li>• the reasons for any decisions made</li> <li>• the details of any remedy offered to put things right</li> <li>• details of any outstanding actions</li> </ul> <p><b>and</b></p> <ul style="list-style-type: none"> <li>• if the landlord has a third stage, details of how to escalate the matter to stage three</li> <li>• if this was the final stage, details of how to escalate the matter to the Housing Ombudsman Service if the resident remains dissatisfied.</li> </ul> | Yes | This is included within the Stage 2 response template by the senior investigating manager. The Complaints Officers also quality check responses. |

### Stage 3

| Code section | Code requirement   | Comply: Yes/No | Evidence, commentary and any explanations |
|--------------|--|----------------|---|
| 5.17         | Two stage landlord complaint procedures are ideal. This ensures that the complaint process is not unduly long. If landlords strongly believe a third stage is necessary, they must set out their reasons for this as part of their self-assessment. A process with more than three stages is not acceptable under any circumstances. | Yes            | We apply a two stage complaint procedure. |

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| <b>5.20</b> | Landlords must confirm the following in writing to the resident at the completion of stage three in clear, plain language: <ul style="list-style-type: none"> <li>• the complaint stage</li> <li>• the complaint definition</li> <li>• the decision on the complaint</li> <li>• the reasons for any decisions made</li> <li>• the details of any remedy offered to put things right</li> <li>• details of any outstanding actions</li> <li>• details of how to escalate the matter to the Housing Ombudsman Service if the resident remains dissatisfied</li> </ul> | N/A | We do not have an internal Step 3. |
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### Best practice 'should' requirements

#### Stage 1

| Code section | Code requirement  | Comply: Yes/No | Evidence, commentary and any explanations  |
|--------------|---|----------------|--|
| <b>5.2</b>   | If an extension beyond 20 working days is required to enable the landlord to respond to the complaint fully, this should be agreed by both parties.   | Yes            | Clarified in our Acknowledgement letter.   |
| <b>5.3</b>   | Where agreement over an extension period cannot be reached, landlords should provide the Housing Ombudsman's contact details so the resident can challenge the landlord's plan for responding and/or the proposed timeliness of a landlord's response.  | Yes            | If needed, this would be done via telephone and followed up in writing. This will be made clearer in our reviewed Complaints policy.   |
| <b>5.4</b>   | Where the problem is a recurring issue, the landlord should consider any older reports as part of the background to the complaint if this will help to resolve the issue for the resident.  | Yes            | We can access previous complaint details.  |
| <b>5.7</b>   | Where residents raise additional complaints during the investigation, these should be incorporated into the stage one response if they are relevant and the stage one response has not been issued. Where the stage one response has been issued, or it would unreasonably delay the response, the complaint should be logged as a new complaint. | Yes            | It is clarified with the resident at the time of any new issues being submitted if it will be incorporated as relevant or dealt with as a new complaint. Causal linked issues are added to existing complaint; |

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|  |  |  | on-related issues are logged as a new separate complaint. |
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### Stage 2

| Code section | Code requirement  | Comply: Yes/No | Evidence, commentary and any explanations   |
|--------------|---|----------------|---|
| 5.14         | If an extension beyond 10 working days is required to enable the landlord to respond to the complaint fully, this should be agreed by both parties.   | Yes            | If needed, this would be communicated in a call then confirmed in writing. This will be clarified in the revised complaints policy. |
| 5.15         | Where agreement over an extension period cannot be reached, landlords should provide the Housing Ombudsman's contact details so the resident can challenge the landlord's plan for responding and/or the proposed timeliness of a landlord's response | Yes            | If needed this would be done via telephone and followed up in writing.  |

### Stage 3

| Code section | Code requirement   | Comply: Yes/No | Evidence, commentary and any explanations   |
|--------------|--|----------------|---|
| 5.18         | Complaints should only go to a third stage if the resident has actively requested a third stage review of their complaint. Where a third stage is in place and has been requested, landlords must respond to the stage three complaint <b><u>within 20 working days</u></b> of the complaint being escalated. Additional time will only be justified if related to convening a panel. An explanation and a date for when the stage three response will be received should be provided to the resident. | Yes            | Although we do not have a specific Step 3 internal process, if the resident asked for a higher-level review of their complaint before approaching the HOS we would respect their request and action as appropriate. |

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| 5.19 | Where agreement over an extension period cannot be reached, landlords should provide the Housing Ombudsman's contact details so the resident can challenge the landlord's plan for responding and/or the proposed timeliness of a landlord's response. | N/A | No third stage |
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## Section 6 - Putting things right

### Mandatory 'must' requirements

| Code section | Code requirement   | Comply: Yes/No | Evidence, commentary and any explanations  |
|--------------|--|----------------|--|
| 6.1          | Effective dispute resolution requires a process designed to resolve complaints. Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right.   | Yes            | This is included in the Stage 1 response or should it escalate, in our Stage 2 response. We will also include details of the Stage 2 findings/recommendations. |
| 6.2          | Any remedy offered must reflect the extent of any service failures and the level of detriment caused to the resident as a result. A landlord must carefully manage the expectations of residents and not promise anything that cannot be delivered or would cause unfairness to other residents. | Yes            | Our Compensation policy outlines the levels of compensation to be considered as well as consulting the HOS policy and Guidance on Remedies.                    |
| 6.5          | The remedy offer must clearly set out what will happen and by when, in agreement with the resident where appropriate. Any remedy proposed must be followed through to completion.  | Yes            | Remedy and proposed completion date will be detailed in our Stage 1 or Stage 2 response letters, as appropriate.   |
| 6.6          | In awarding compensation, a landlord must consider whether any statutory payments are due, if any quantifiable losses have been incurred, the time and trouble a resident has been put to as well as any distress and inconvenience caused.  | Yes            | As detailed in our Compensation policy.  |

### Best practice 'should' requirements

| Code section | Code requirement | Comply: Yes/No | Evidence, commentary and any explanations |
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| <b>6.3</b> | Landlords should look beyond the circumstances of the individual complaint and consider whether anything needs to be 'put right' in terms of process or systems to the benefit of all residents.           | No  | Policies and processes are not reviewed in a timely manner and more evidence needs to be provided on how processes or systems are "put right". We are very much looking at how complaints can drive this improvement during 2023 onwards with improved reporting and monitoring. |
| <b>6.7</b> | In some cases, a resident may have a legal entitlement to redress. The landlord should still offer a resolution where possible, obtaining legal advice as to how any offer of resolution should be worded. | Yes | We would consult with our Legal Team for guidance and then clearly correspond with the resident.   |

## Section 7 - Continuous learning and improvement

### Mandatory 'must' requirements

| <b>Code section</b> | <b>Code requirement</b>  | <b>Comply: Yes/No</b> | <b>Evidence, commentary and any explanations</b> |
|---------------------|--|-----------------------|--|
| <b>7.2</b>          | Accountability and transparency are integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints in their annual report and more frequently to their residents, staff and scrutiny panels. | Yes                   | This will feature in our annual report.          |

### Best practice 'should' requirements

| <b>Code section</b> | <b>Code requirement</b>  | <b>Comply: Yes/No</b> | <b>Evidence, commentary and any explanations</b>  |
|---------------------|--|-----------------------|---|
| <b>7.3</b>          | A member of the governing body should be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This role will be responsible for ensuring the governing body receives regular information on complaints that provides insight to the governing body on the landlord's complaint handling performance. | No                    | All complaint KPI reporting is assessed by CHL's Non-Executive Board before onward communication to the client (Cornwall Council). This is completed at monthly, quarterly and annual intervals with additional reports being requested to deep-dive on any areas of specific |

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|            |  |     | concern. Cornwall Housing Board is due to discuss having a lead for complaints.  |
| <b>7.4</b> | <p>As a minimum, governing bodies should receive:</p> <ul style="list-style-type: none"> <li>• Regular updates on the volume, categories and outcome of complaints, alongside complaint handling performance including compliance with the Ombudsman's orders</li> <li>• Regular reviews of issues and trends arising from complaint handling,</li> <li>• The annual performance report produced by the Ombudsman, where applicable</li> <li>• Individual complaint outcomes where necessary, including where the Ombudsman made findings of severe maladministration or referrals to regulatory bodies. The implementation of management responses should be tracked to ensure they are delivered to agreed timescales. The annual self-assessment against the Complaint Handling Code for scrutiny and challenge.</li> </ul> | Yes | <p>Monthly Complaints Performance Board Report (including Root Cause Analysis) and any previous deep-dives or case studies requested by the Scrutiny Panel or Board.</p> <p>We have completed a self-assessment in 2019, 2021 and 2022 and will continue to complete annually from this point forward.</p> |
| <b>7.5</b> | Any themes or trends should be assessed by senior management to identify potential systemic issues, serious risks or policies and procedures that require revision. They should also be used to inform staff and contractor training.  | Yes | Trends and themes are analysed in the monthly Performance Board Reports with outcome tracking in the mid-year and year-end review reports. Follow up actions from Board reports which inform and drive the strategic objectives of the business plan.  |
| <b>7.6</b> | <p>Landlords should have a standard objective in relation to complaint handling for all employees that reflects the need to:</p> <ul style="list-style-type: none"> <li>• have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments</li> <li>• take collective responsibility for any shortfalls identified through complaints rather than blaming others</li> <li>• act within the Professional Standards for engaging with complaints as set by the Chartered Institute of Housing.</li> </ul>   | Yes | We believe our policy covers this and all staff complaints training delivered in March and April 2023.   |



## Section 8 - Self-assessment and compliance

### Mandatory 'must' requirements

| Code section | Code requirement   | Comply: Yes/No | Evidence, commentary and any explanations  |
|--------------|--|----------------|--|
| 8.1          | Landlords must carry out an annual self-assessment against the Code to ensure their complaint handling remains in line with its requirements.  | Yes            | An assessment was completed in 2021. The latest assessment was completed in November 2022 and provided to the CHL Board for review. A further assessment has been done for 31 March 2023 following launch of the new Policy. |
| 8.2          | Landlords must also carry out a self-assessment following a significant restructure and/or change in procedures.   | Yes            | Completed in November 2022 and provided to the CHL Board for review. This was also updated for 31 March 2023 following launch of the new Policy.   |
| 8.3          | <p>Following each self-assessment, a landlord must:</p> <ul style="list-style-type: none"> <li>report the outcome of their self-assessment to their governing body. In the case of local authorities, self-assessment outcomes should be reported to elected members</li> <li>publish the outcome of their assessment on their website if they have one, or otherwise make accessible to residents</li> <li>include the self-assessment in their annual report section on complaints handling performance</li> </ul> | Yes            | The outcome of the 2022 self-assessment has been reported to the Cornwall Housing Board, published on our website and we have made a commitment to include it in our next annual report.                                     |