

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
1.2	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	Complaint Policy	CHL’s complaint policy satisfies this requirement (see 2.1).
1.3	A resident does not have to use the word ‘complaint’ for it to be treated as such. Whenever a resident expresses dissatisfaction landlords must give them the choice to make complaint. A complaint that is submitted via a third party or representative must be handled in line with the landlord’s complaints policy.	Yes	Complaint Policy	CHL’s complaint policy satisfies this requirement (see 3.1 to 3.4).
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	Yes	Complaints Policy Complaints database	CHL’s complaint policy satisfies this requirement (see 2.2). Requests for service or ‘solved at source’ enquiries received by the Complaints Team are logged and stored in the complaint files.

	recorded, monitored and reviewed regularly.			
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	Complaint Policy	CHL's complaint policy satisfies this requirement (see 2.6).
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	Complaint Policy	CHL's complaint policy satisfies this requirement (see 2.7).

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	Complaint Policy Complaints database	CHL's complaint policy satisfies this requirement (see 2.3). CHL's complaints database captures instances where a complaint has been refused.
2.2	<p>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:</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. 	Yes	Complaints Policy	CHL's complaint policy satisfies this requirement (see 2.3).

	<ul style="list-style-type: none"> • 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.	Yes	Complaint Policy	CHL's complaint policy satisfies this requirement (see 2.3).
2.4	If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman. If the Ombudsman does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.	Yes	Complaint Policy Refusal letter template	<p>CHL's complaint policy satisfies this requirement (see 2.4).</p> <p>CHL uses a refusal letter template to ensure these requirements are met.</p>
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Complaint Policy	CHL's complaint policy satisfies this requirement (see 2.4).

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	Complaint Policy Equality Impact Assessment	CHL's complaint policy satisfies this requirement (see 2.8 and section 11). CHL has completed an Equality Impact Assessment for its Complaints Policy
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	Complaint Policy Complaints Inbox New starters complaints training	CHL's complaint policy satisfies this requirement (see 2.8). The Complaints Team operate a dedicated inbox that is promoted to staff. All CHL staff receive complaints training covering how residents can make a complaint and their role in the process.
3.3	High volumes of complaints must not be seen as a negative, as they can be indicative of a well-publicised and	Yes	Complaint reporting New starter complaints training Complaint staff briefings	Complaint numbers are monitored on a weekly (internal only), quarterly and

	accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.			annual basis (Board and Tenant Forum). CHL aims to embed positive staff attitudes towards complaints through training and complaints information sharing
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	Complaints Policy Complaints Leaflet Tenant magazine	Complaint Policy published on website Complaint leaflet (shorter version of policy) published on website Complaints Policy link sent with all complaint acknowledgements Complaints information published in tenant magazine
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	Complaint Policy	CHL's complaint policy satisfies this requirement (see 1.5).
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or	Yes	Complaint policy	CHL's complaint policy satisfies this requirement (see 2.8 and 3.2, 3.3 and 3.4)

	accompanied at any meeting with the landlord.			
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	Complaint Policy CHL website – complaints page Response templates	<p>CHL's complaint policy satisfies this requirement (see section 6).</p> <p>CHL's complaints website includes Housing Ombudsman information</p> <p>All complaint responses advise residents of their right to contact the Ombudsman and provide relevant contact information.</p>

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	Complaints Team structure Complaints Team role profiles	CHL has a dedicated complaints team, which includes a Complaints and Disrepair Manager, Senior Complaints Officer, Complaints Officer and Complaints Co-ordinator. The Senior Complaints Officer takes the lead on liaising with the Housing Ombudsman.
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	New starter complaints training Complaints handler training	Clear messaging about co-operating with complaint investigators is detailed in staff training materials.
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	Weekly complaints reporting New starter complaint training Complaints handler training Complaints reporting	Complaint handling is a priority at CHL, demonstrated through staff training, regular communication and reporting about complaints.

				Staff receive quarterly complaints briefings and weekly updates relating to complaint handling performance.
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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.	Yes	Complaints Policy	CHL's complaint policy satisfies this requirement.
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	Complaints Policy	CHL's complaint policy satisfies this requirement by adopting a two stage process (see sections 4 and 5).
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	Complaints Policy	CHL's complaint policy satisfies this requirement by adopting a two stage 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	Complaints Policy	CHL's complaint policy satisfies this requirement by adopting the approach that complaints relating to any CHL service (even if delivered by a third party) is investigated by CHL staff only (see 2.10).

5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Complaint Policy	CHL's complaint policy satisfies this requirement (see 2.10).
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	Complaint Policy Acknowledgement templates	CHL's complaint policy satisfies this requirement (see 4.1 and 5.1) CHL's complaint acknowledgement templates used by the dedicated Complaints Team also satisfies this requirement.
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	Acknowledgement templates	CHL's complaint acknowledgement templates used by the dedicated Complaints Team satisfies this requirement by providing a clear outline of what will be investigated as part of the complaint and what will not.
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; 	Yes	Complaint handler training	Training delivered to complaint investigators details this key messaging. Complaint investigators have access to the relevant complaint file for all pertinent information.

	<p>c. take measures to address any actual or perceived conflict of interest; and</p> <p>d. consider all relevant information and evidence carefully.</p>			The Complaints Team also quality checks all responses as a means of oversight.
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	Weekly complaints monitoring Extension template	<p>The Complaints Team specify the deadline for a complaint response when allocating all complaints.</p> <p>The Complaints Team provides weekly reminders to staff about the deadline for complaints and prompts conversations about extensions required where necessary.</p> <p>The Complaints Team communicate with residents where additional time may be required to fully respond to a complaint using the extension template to ensure appropriate information is provided to satisfy this requirement.</p>
5.10	Landlords must make reasonable adjustments for residents where appropriate under the Equality Act 2010. Landlords must keep a record of	Yes	Complaint Policy Complaints database Housing Management System	CHL's complaint policy satisfies this requirement (see section 11).

	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.			Communications with residents are logged in the complaints database and recorded on CHL's Housing Management System.
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	Complaint Policy	CHL's complaint policy satisfies this requirement (see 5.1 and 5.2).
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 database Housing Management System	The Complaints Team oversees a dedicated complaints database, which includes a log with all relevant details, plus all individual correspondence relating to a complaint. CRMs are added to CHL's Housing Management System to indicate when a complaint has been made.
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	Complaints Policy Complaints process Complaint handler training	CHL's complaint policy satisfies this requirement (see 3.9, 3.10 and 3.11). The Complaints process details how to book repairs.

				Complaints handler training stresses the importance of resolving issues as soon as possible.
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	Complaints Policy	CHL's complaint policy satisfies this requirement (see section 8).
5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.	Yes	Complaints Policy Equality Impact Assessment	CHL's complaint policy satisfies this requirement (see section 8).

Section 6: Complaints Stages

Stage 1

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.1	Landlords must have processes in place to consider which complaints can be responded to as early as possible, and which require further investigation. Landlords must consider factors such as the complexity of the complaint and whether the resident is vulnerable or at risk. Most stage 1 complaints can be resolved promptly, and an explanation, apology or resolution provided to the resident.	Yes	Complaints Policy	Complaints are investigated by CHL staff with expertise in the related business area to facilitate fast and efficient resolutions (see 3.6).
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	Complaint Policy	CHL's complaint policy satisfies this requirement (see 4.1).
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 Policy	CHL's complaint policy satisfies this requirement (see 4.1).
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident	Yes	Complaints Policy Extension template Complaints database	CHL's complaint policy satisfies this requirement (see section 4.1).

	<p>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.</p>			<p>The Complaints Team specify the deadline for a complaint response when allocating all complaints.</p> <p>The Complaints Team provides weekly reminders to staff about the deadline for complaints and prompts conversations about extensions required where necessary.</p> <p>The Complaints Team communicate with residents where additional time may be required to fully respond to a complaint using templates to ensure appropriate information is provided to satisfy this requirement. Extension timescales are recorded in the complaints database to enable monitoring and oversight.</p>
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	Extension template	This information is included as standard in our extension template.
6.6	A complaint response must be provided to the resident when the answer to the	Yes	Complaints database Stage 1 template	The Complaints database operates a status system –

	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>the status 'responded' denotes a complaint where the customer has received a response but there remain outstanding actions. Only when all outstanding actions have been delivered is a complaint status changed to 'closed'.</p> <p>The Stage 1 template includes a section to outline the actions required to resolve the complaint.</p>
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	Stage 1 template Complaint handler training	Stage 1 response templates provide guidance to investigating officers. Issues highlighted are numbered and officers encouraged to respond to each issue individually in responses. This expectation is shared through complaint handler training.
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	Yes	Complaint Policy	CHL's complaint policy satisfies this requirement (see 4.2).

	investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.			
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; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response. 	Yes	Stage 1 template	<p>CHL's stage 1 template response letter includes all relevant information outlined satisfying this requirement.</p> <p>Responses are quality checked by the Complaints Team before being sent to the resident.</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	Complaints Policy	CHL's complaint policy satisfies this requirement (see section 5.1).
6.11	Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaints procedure	Yes	Complaints Policy	CHL's complaint policy satisfies this requirement (see section 5.4).

	within five working days of the escalation request being received.			
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	Complaint Policy	<p>CHL's complaint policy satisfies this requirement (see section 5.1).</p> <p>When logging a Stage 2 complaint, the Complaints Team attempt to understand reasons for dissatisfaction and include in acknowledgement.</p> <p>Stage 2 investigators must contact residents to establish reasons for continuing dissatisfaction and understand possible resolutions.</p>
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Complaints Policy	CHL's complaint policy satisfies this requirement (see section 5.3).
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	Complaints Policy	CHL's complaint policy satisfies this requirement (see section 5.4).
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	Yes	Extension template Complaints database	The Complaints Team specify the deadline for a complaint response when allocating all complaints.

	20 working days without good reason, and the reason(s) must be clearly explained to the resident.			<p>The Complaints Team provides reminders to Stage 2 investigators about the deadline for complaints and prompts conversations about extensions required where necessary.</p> <p>The Complaints Team communicate with residents where additional time may be required to fully respond to a complaint using the extension template to ensure appropriate information is provided to satisfy this requirement.</p> <p>Extension timescales are recorded in the complaints database to enable monitoring and oversight.</p>
6.16	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes	Extension template	This information is included as standard in our extension template.
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	Yes	Complaints database Stage 2 template	The Complaints database operates a status system – the status ‘responded’ denotes a complaint where the customer has received a response but there remain

	actioned promptly with appropriate updates provided to the resident.			outstanding actions. Only when all outstanding actions have been delivered is a complaint status changed to 'closed'.
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	Stage 2 template	Stage 2 response templates provide guidance to investigating officers. Issues highlighted are numbered and officers encouraged to respond to each issue individually in responses. This expectation is shared through complaint handler training.
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	Stage 2 template	<p>CHL's stage 1 template response letter includes all relevant information outlined satisfying this requirement.</p> <p>Responses are quality checked by the Complaints Team before being sent to the resident.</p>

6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Complaints Policy Stage 2 investigating officer step-by-step guide	<p>CHL's complaint policy satisfies this requirement (see section 5.3).</p> <p>Stage 2 investigating officers are Heads of Service or Directors at CHL to ensure that complaints from residents are seen and responded to at the highest levels of management in the business. This ensures complaints are a high priority for all CHL staff.</p>
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Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; • Taking action if there has been delay; • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; • Providing a financial remedy; • Changing policies, procedures or practices. 	Yes	Stage 1 and Stage 2 response templates Complaints database	<p>Response templates encourage investigating officers to cover these points.</p> <p>Responses are quality checked by the Complaints Team.</p> <p>Outstanding actions and learning from complaints are logged in the complaints database.</p>
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Complaint Policy Compensation Policy	<p>CHL's complaint policy satisfies this requirement (see section 5.5).</p> <p>CHL's compensation policy aims to ensure that residents are not 'out of pocket' and adequately compensated. This policy</p>

				will be reviewed during 2024.
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	Complaints database Stage 1 and Stage 2 response templates	<p>The Complaints database operates a status system and tracks complaints from 'In progress' through to 'closed' status. Only when all outstanding actions have been completed is a complaint marked as 'closed'.</p> <p>Actions promised in response letters are also logged and monitored through the complaints database.</p>
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	HOS remedies guidance	<p>The Complaints Team considers complaints responses alongside the HOS remedies guidance.</p> <p>Stage 2 investigators training includes the guidance.</p>

Section 8: Putting things right

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. 	Yes	Complaints annual report to Board and Tenant Forum	CHL's annual complaints report satisfies this requirement. It includes all those sections specified.

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	Board report papers Tenant Forum report papers Complaints annual report website link	<p>The Annual Complaints Report includes an improvement action table for the year ahead and is presented to CHL's Board.</p> <p>The action plan and progress against it is subsequently included in the quarterly complaints reports, which go to the CHL Board and Tenant Forum.</p> <p>The Board response is to be published on CHL's website.</p>
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	Self-assessment	CHL will satisfy this requirement via the self-assessment should the need arise.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	Full compliance with HOS recommendations	CHL has received no complaint handling failure orders from the Ombudsman
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	Board report Tenant Forum report	If such a circumstance were to arise, CHL would satisfy this requirement through its regular reporting mechanisms or via exceptional/urgent report to Board and the Tenant Forum, plus appropriate

				communication to residents impacted.
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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.	Yes	Complaint response template Complaints database Quarterly Complaints reports	Learning section in complaint responses and in complaints database Quarterly complaints reports to Board and the Tenant Forum include a learning section
9.2	A positive complaint handling culture is integral to the effectiveness with which landlords resolve disputes. Landlords must use complaints as a source of intelligence to identify issues and introduce positive changes in service delivery.	Yes	Quarterly complaints reports Annual Complaints Report, including improvement plan Complaints staff briefings Level 1 Engagement Form linked to Resident Engagement Strategy	Learning from complaints is detailed in the quarterly complaints reports to staff, Board and the Tenant Forum. Complaints data is also included as part of Level 1 engagement in line with CHL's new Resident Engagement Strategy so that staff are encouraged to use complaints intelligence when decision-making or implementing change.
9.3	Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report	Yes	Quarterly Complaints Reports to Tenant Forum	CHL's Tenant Forum receive quarterly complaints reports

	back on wider learning and improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees.		Bi-annual tenant review of complaints and subsequent report	A bi-annual review of a sample of complaints by involved tenants takes place and learning shared.
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	Head of Customer Services and Engagement	Reports to Board and Tenant Forum
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	Board member for CHL Council Commissioner for Cornwall Council	CHL has two Members Responsible for Complaints – a representative from CHL's Board and a representative from Cornwall Council given the organisation is an ALMO
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	Quarterly complaints reports Annual Complaints Report	The MRC and Board receives quarterly complaints reports, which are detailed and provide sufficient information for robust oversight. MRCs will be provided with access to information they should require to fulfil their roles.

9.7	<p>As a minimum, the MRC and the governing body (or equivalent) must receive:</p> <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 d. annual complaints performance and service improvement report. 	Yes	<p>Quarterly complaints reports</p> <p>Bi-annual tenant-led complaints review</p> <p>Annual Complaints Report</p>	<p>Quarterly complaints reporting details all relevant information to satisfy this requirement.</p> <p>The Board also receives an update from the Tenant Forum in relation to bi-annual review of complaints conducted by involved residents.</p> <p>The Board and Tenant Forum receives an annual complaints report.</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> <ul style="list-style-type: none"> a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments; b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and c. act within the professional standards for engaging with complaints 	Yes	<p>Complaints Policy</p> <p>Complaints handler training</p> <p>Quarterly staff briefings</p>	<p>CHL's Complaints Policy satisfies this requirement (see 2.11).</p> <p>Complaints handler training outlines this objective.</p> <p>All CHL staff received complaints briefings on a quarterly basis.</p>

	as set by any relevant professional body.			
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