

## 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	<p>A complaint must be defined as:</p> <p><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></p>	Yes	<p>Detailed under the “What is a complaint?” section of the WDC Complaints policy.  <a href="https://www.warwickdc.gov.uk/complaints-policy">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a></p>	<p>The only difference between the Councils complaint definition and the definition in the Housing Ombudsman Code is the word ‘organisation’ instead of ‘landlord’. This is not a substantial difference to the definition and the word ‘organisation’ is used because the Council provides a range of services including those in its position as a landlord. The Council’s Cabinet approved a new complaints Policy in February 2024. The policy has developed to meet the requirements of the Housing Ombudsman Complaint Handling Code. In addition to this it is designed to meet the ambitions set out within the recent consultation on a single complaint handling code by the Local</p>

				<p>Government &amp; Social Care Ombudsman and the Housing Ombudsman. New processes, procedures and approach to complaint handling is currently being implemented to fully meet the complaint handling code.</p> <p>Following a review and completion of this self-assessment an improvement plan has been produced to improve processes, procedures, governance and assurance arrangements and compliance with the Housing Ombudsman Complaint handling code 2024. The improvements will be implemented over the next six months and scheduled for January 2025 is the completion of a new self-assessment.</p>
1.3	A resident does not have to use the word 'complaint' for it to be treated as such. Whenever a resident expresses dissatisfaction	Yes		An expression of dissatisfaction can be considered a complaint whether it is made in the

	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.			<p>form of a request for a complaint.</p> <p>Procedures and training being developed will expand on the policy and make clear the difference between a service request and complaint and how staff will need to respond to either. This was identified as an area for improvement following independent external audits from HQN and Pennington Choices.</p>
1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be recorded, monitored and reviewed regularly.	Yes	<p>Defined under "Requests for service or information" in Appendix 1 – Limitation of this Policy.</p> <p><a href="http://warwickdc.gov.uk">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a></p>	See above

1.5	<p>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.</p>	Yes	<p><a href="http://warwickdc.gov.uk">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a></p>	<p>If a customer is unhappy with the response to their service request, then we will raise a complaint.</p>
1.6	<p>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.</p>	No		<p>Persons completing a survey are not always made aware of how they can pursue a complaint. Where dissatisfaction with the service is identified officers will follow up on this. This will be further reviewed and added to the improvement plan. This won't just be an introduction for aspects around housing but for all surveys taken by the Council due to the perception of residents that WDC is the Council and not just their landlord.</p>

## 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	Defined under the “What cannot be dealt with under this policy?” section of the WDC Complaints policy. <a href="http://warwickdc.gov.uk">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a>	
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>The issue giving rise to the complaint occurred over twelve months ago.</li> <li>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.</li> </ul>	Yes	Defined under Appendix 1 of the WDC Complaints policy. <a href="http://warwickdc.gov.uk">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a>	

	<ul style="list-style-type: none"> <li>Matters that have previously been considered under the complaints policy.</li> </ul>			
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	<a href="http://warwickdc.gov.uk">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a>	We would not normally investigate complaints about something that happened more than a year ago, unless there are exceptional circumstances which will be determined on a case-by-case basis.
2.4	If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman. If the Ombudsman does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.	Yes	This is the required practice	Further validation exercises will be undertaken when the procedures and training has been fully implemented
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Evidence page 10 Complaints policy Reasonable adjustments	

### 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	Defined under the “Aim of the complaints policy” section of the WDC Complaints policy. <a href="#">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a>	The Complaints Policy reflects reasonable adjustments. This includes communicating with customers in a way that reflects specific needs.
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		An e-learning reminder was sent to all staff in April/May 2023 stating that staff can take any residents complaint over the phone and fill out the complaint form or an email to <a href="mailto:information@warwickdc.gov.uk">information@warwickdc.gov.uk</a> to log the complaint on the residents behalf.
3.3	High volumes of complaints must not be seen as a negative, as they can be indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a	No		The Council considers it has a disproportionately low number of Housing complaints due to the process of dealing with as many as possible as Service Requests, not complaints. This was identified through and



	sign that residents are unable to complain.			independent external audit. This is being addressed through the new procedure and training
3.4	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the two stage process, what will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord's website.	Yes	The updated WDC Complaints policy is published on the WDC Website - <a href="#">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a>	Following a review, it was identified that there was a need to make the complaints policy and the ability to make a complaint more prominent on the website and this is part of the action plan
3.5	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.	No		The policy has been made more accessible by changing the format from a downloadable file to a webpage which makes it easier to view on any device. The Council's website is one of the leading Local Authority websites in the UK for accessibility,
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any meeting with the landlord.	Yes		We can point to good practice in this area and will reinforce in the Complaint handling procedure
3.7	Landlords must provide residents with information on their right to access the Ombudsman service and how the	Yes	Defined under the "Next steps" section of the WDC complaints policy - <a href="#">Complaints policy -</a>	Response letters refer to the right to access the Ombudsman service

	individual can engage with the Ombudsman about their complaint.		<a href="http://warwickdc.gov.uk">Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a>	
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## 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		In line with the new processes being implemented following the new policy. All Housing complaints are sent to the <a href="mailto:talktohousing@warwickdc.gov.uk">talktohousing@warwickdc.gov.uk</a> mailbox to be assessed and acted upon at Stage 1. This is led by a dedicated and trained member of staff to investigate complaints All Stage 2 complaints will be considered by the Policy, Performance and Complaints Manager who is also responsible for liaising with the 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		From Autumn 2024 all Stage 2 complaints will be considered by the Policy, Performance and Complaints Manager
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	No		The independent external audits have identified this as an area that the Council needs to improve. The new complaints

	importance of complaint handling. It is important that complaints are seen as a core service and must be resourced to handle complaints effectively			process will have appropriately trained staff to undertake complaint investigations. Complaints will be regularly monitored, and lessons learnt reviewed at Housing DMT and the Resident Involvement Group
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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	<a href="http://warwickdc.gov.uk">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a>	We have a single Policy in place for dealing with complaints. We use a resident centric approach and review each case on its own merit. We expect colleagues to be fair and follow fair process
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	Change in culture required and procedure to follow and further training	We have a policy that is aligned with the complaint handling code. The new complaint handling procedure and staff briefings and training will prioritise the local and early resolution of complaints where appropriate to do so and in line with the policy.

5.3	A process with more than two stages is not acceptable under any circumstances as this will make the complaint process unduly long and delay access to the Ombudsman.	Yes		We have a two-stage complaint process. The resident is advised of their rights to contact the Ombudsman
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		A resident is not expected to go through two complaints processes
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes		We have used third parties to handle more complex or legal based complaints, but they have followed the Policy and the Ombudsman code.
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 acknowledgements to customer  Complaint referral to responding officer.	

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	As above	
5.8	At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> <li>a. deal with complaints on their merits, act independently, and have an open mind;</li> <li>b. give the resident a fair chance to set out their position;</li> <li>c. take measures to address any actual or perceived conflict of interest; and</li> <li>d. consider all relevant information and evidence carefully.</li> </ul>	Yes	<a href="http://warwickdc.gov.uk">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a>	The new call handling procedure and training will address and reinforce this part of the code. Feedback from complainants will also be reviewed
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	<a href="http://warwickdc.gov.uk">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a>	
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	Yes	Defined under the "Reasonable adjustments" section of the WDC Complaints policy. <a href="http://warwickdc.gov.uk">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a>	

	resident has disclosed. Any agreed reasonable adjustments must be kept under active review.			
5.11	Landlords must not refuse to escalate a complaint through all stages of the complaints procedure unless it has valid reasons to do so. Landlords must clearly set out these reasons, and they must comply with the provisions set out in section 2 of this Code.	Yes	<a href="http://warwickdc.gov.uk">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a>	
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		Currently retained for five years plus current year
5.13	Landlords must have processes in place to ensure a complaint can be remedied at any stage of its complaints process. Landlords must ensure appropriate remedies can be provided at any stage of the complaints process without the need for escalation.	Yes		This part of the code will be reinforced through the Complaint handling procedure
5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives. Landlords	Yes	Defined under the Councils "Managing unreasonable customer behaviour policy"	

	must be able to evidence reasons for putting any restrictions in place and must keep restrictions under regular review.			
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	<a href="http://warwickdc.gov.uk">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a>	



## 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		On receipt of a complaint the Customer Engagement Team will triage and where possible find an early resolution to the customer's satisfaction. If this is not possible, and further investigation is required, we will progress to a complaint
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <b><u>within five working days of the complaint being received.</u></b>	Yes	<a href="http://warwickdc.gov.uk">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a>	We acknowledge, define and log complaints within 5 working days. If a complaint was logged late for any reason, we would remove time from the working days the Investigating Officer has to respond to the complaint to ensure that the customer
6.3	Landlords must issue a full response to stage 1 complaints <b><u>within 10 working</u></b>	Yes	<a href="http://warwickdc.gov.uk">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a>	We are committed to responding to stage 1 complaints within 10

	<b>days</b> of the complaint being acknowledged.			working days of the complaint acknowledgement. In 2023/24 the Stage 1 performance against the timelines is being reviewed and validated and areas for improvement identified. Which will feed into the procedure and processes.
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident.	Yes		We encourage complaint handlers to advise if a complaint will need an extension to timescale at an early stage
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	<a href="https://warwickdc.gov.uk">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a>	This part of the code will be reinforced in the new procedure.
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	Yes		This part of the code will be reinforced in the new procedure.

	appropriate updates provided to the resident.			
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	Response letter accompanied by a report of the investigation is sent to the complainant.	
6.8	Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if they are related and the stage 1 response has not been issued. Where the stage 1 response has been issued, the new issues are unrelated to the issues already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.	Yes	<a href="http://warwickdc.gov.uk">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a>	Additional complaints raised during an investigation will be incorporated into the Stage 1 response if they are related and the response has not been issues
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"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> </ul>	Yes	Response letter accompanied by a template report of the investigation is sent to the complainant.	

	g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.			
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## 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	<a href="http://warwickdc.gov.uk">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a>	
6.11	Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaints procedure within five working days of the escalation request being received.	Yes	<a href="http://warwickdc.gov.uk">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a>	As for Stage 1
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	<a href="http://warwickdc.gov.uk">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a>	
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes		All Stage 2 complaints will be considered by the Policy, Performance and Complaints Manager
6.14	Landlords must issue a final response to the stage 2 <b><u>within 20 working days</u></b> of the complaint being acknowledged.	Yes	Defined under the "Stages of the policy" section of the WDC Complaints policy. <a href="http://warwickdc.gov.uk">Complaints</a>	We are committed to responding to stage 2 complaints within 20

			<a href="http://warwickdc.gov.uk">policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a>	working days of the complaint acknowledgement. The Council has recognized this is an area which requires improvement and to address this have recruited the Policy, Performance and Complaints Manager.
6.15	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 20 working days without good reason, and the reason(s) must be clearly explained to the resident.	Yes	<a href="http://warwickdc.gov.uk">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a>	We encourage complaint handlers to advise if a complaint will need an extension to timescale at an early stage.
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	<a href="http://warwickdc.gov.uk">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a>	This part of the code will be reinforced in the new procedure.
6.17	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes	<a href="http://warwickdc.gov.uk">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a>	This part of the code will be reinforced in the new procedure.
6.18	Landlords must address all points raised in the complaint definition and	Yes	Stage 2 complaints are signed off at a senior level	

	provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.			
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"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> <li>g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.</li> </ul>	Yes		Points A-F are covered in the Stage 2 report template used for all Stage 2 Reports. Point G is explained in the cover letter from the Chief Executive which accompanies every stage 2 report.
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes		Completed Stage 2 investigations are sent to the Head of Housing, Health and Communities for sign off before being sent to the resident.

## Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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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"> <li>• Apologising;</li> <li>• Acknowledging where things have gone wrong;</li> <li>• Providing an explanation, assistance or reasons;</li> <li>• Taking action if there has been delay;</li> <li>• Reconsidering or changing a decision;</li> <li>• Amending a record or adding a correction or addendum;</li> <li>• Providing a financial remedy;</li> <li>• Changing policies, procedures or practices.</li> </ul>	Yes	The response and report template covers this part of the code.	
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Complaint response templates	Our complaint response templates support officers to consider vulnerabilities and to consider the impact on the resident if any faults are identified. Staff can offer a range of remedies, including but not limited to financial remedies.
7.3	The remedy offer must clearly set out what will happen and by when, in agreement with the resident where	Yes		We endeavor to be clear when setting out remedy offers to advise and agree

	appropriate. Any remedy proposed must be followed through to completion.			with the resident of what will happen and by when.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes		Remedies offered reflect Housing Ombudsman Guidance



## 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"> <li>a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.</li> <li>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;</li> <li>c. any findings of non-compliance with this Code by the Ombudsman;</li> <li>d. the service improvements made as a result of the learning from complaints;</li> <li>e. any annual report about the landlord's performance from the Ombudsman; and</li> <li>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</li> </ul>	Yes		<p>The self-assessment is published on the website and contains the required status and shows what improvements have been made and are being implemented. Any other relevant reports will be published over the next 6 months</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.	No		We have provided reports to the website previously. Currently under review as an area for improvement
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes		The self-assessment has been produced following the new Policy and as part of the improvement plan will be undertaken again in 6 months to reflect the policy and procedures being implemented.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes		We would review as instructed. It is intended to engage with the Ombudsman learning resources to help deliver the improvement plan. A new self-assessment will be undertaken in January 2025 following implementation of improvements
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	Yes		We have Business Continuity procedures in place for major incidents Any service disruption where appropriate would be reported to the Ombudsman

	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.	Yes		Will be introducing a new process to review lessons learnt and see how they can translate to service improvements.
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		We encourage an open, honest, and positive complaint handling culture and will continue to work to improve this.
9.3	Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees.	Yes		See previous comments
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		A suitably appointed senior lead person is appointed for stage1 and for the Policy, Performance and Complaints Manager for stage 2 complaints. The Head of Housing, Health and Communities

				has oversight of themes and risks supported by an experienced management team. Similar trends will also be reported to the SLT (Senior Leadership Team) as part of performance reporting for all Council services.
9.5	In addition to this a member of the governing body (or equivalent) must be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This person is referred to as the Member Responsible for Complaints ('the MRC').	Yes		The Portfolio holder for Housing, Health and Communities will have member lead responsibilities in respect of landlord matters.
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		The Member Responsible for Complaints have access to performance information. Also meets with the Head of Housing, Health and Communities
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;	No		We are setting up improved monitoring analysis and reporting to support an improved governance approach. A project is also being initiated to enhance the Customer Relationship

	<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>Management (CRM) functionality in the main Housing and Asset IT system to manage the complaint handling processes.</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>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</p>	Yes	<p><a href="http://warwickdc.gov.uk">Complaints policy - Compliments and complaints - Warwick District Council. (warwickdc.gov.uk)</a></p> <p>Vision and Values of the Council</p>	<p>Relevant employees have a standard objective to: <i>Respond to complaints within set timescales, professionally and with the appropriate customer communication. Being fair, putting things right, and learning from outcomes as per the Housing Ombudsman Complaint Handling Code.</i></p>