

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	Council Complaints Policy Rotherham Council Rotherham Council - Complaints Policy	Section 3 of the Complaints Policy clearly defines a complaint in line with the requirement.
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	In accordance with the Complaint policy, expressions of dissatisfaction are managed through the complaint procedure as complaints. This does not have to contain the word "complaint." Rotherham Council Rotherham Council - Complaints Policy	The Council will respond to complaints made through a representative; however, authorisation will be gained from the first party where appropriate or a review of our records for an agreed third party.
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	Council Complaints Policy Rotherham Council Rotherham Council - Complaints Policy	Service requests are identified and communicated to the service for response and provision. These are logged on the complaint's tracker as such, and a file is kept with correspondence and feedback of the service provided.

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	Council Complaints Policy Rotherham Council Rotherham Council - Complaints Policy	Corporate Complaint Team trained to manage service requests in line with CHC.
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	CHC requirements communicated to key Council services.	Standard advice will be built into surveys.

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	Council Complaints Policy Rotherham Council Rotherham Council - Complaints Policy	In these cases, a letter is provided detailing why the Council will not accept the complaint. This refers to the Complaint Policy which details matters which cannot be considered. It will also provide the policy, or the link to it. The letter will direct the customer to the Ombudsman if they are unhappy with this decision.
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"> 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	Council Complaints Policy Rotherham Council Rotherham Council - Complaints Policy	Section 3 of the Council's Complaint Policy states items that will not be considered under the complaint procedure Section 6.2 of the Council's Complaint Policy states within what time period the complainant should request to escalate their complaint to Stage Two

	<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	Time allowed is defined in the complaints policy. Rotherham Council Rotherham Council - Complaints Policy	Corporate Complaint Team trained to manage formal complaints in line with CHC and Council Complaint Policy.
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	3. Definition of a complaint Rotherham Council Rotherham Council - Complaints Policy	The complaint policy clearly defines a complaint and the reasons that a complaint will not be accepted.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Approach to complaints is set out in the Council's Complaint Policy Rotherham Council Rotherham Council - Complaints Policy	Corporate Complaint Team trained to manage formal complaints in line with CHC and Council Complaint Policy.

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.	Yes	Complaints can be provided in person, over the telephone, via email, written letter, on an online	Corporate Complaint Team trained to manage formal

	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.		complaints e-form, and by text message. This information is provided within the Council's Complaint Policy Rotherham Council Rotherham Council - Complaints Policy	complaints in line with CHC and Council Complaint 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	Ongoing training programmes for staff in key areas Complaint policy explains that complaint made verbally and face to face to front line staff.	Staff are advised when to use the complaint procedure and how to accept a complaint.
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 sign that residents are unable to complain.	Yes	Annual Complaint report. Complaints Annual Reports – Rotherham Metropolitan Borough Council	Statement in respect of the Council's view of complaints and its culture is included in the Annual Complaint report.
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	These are included in the Policy and Procedure documents which are all available online: Complaints procedures – Rotherham Metropolitan Borough Council	The Policy can be requested via email, whilst hard copies can be sent through the post or can be available to read at Riverside House.
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	Approach to complaints is set out in the Council's Complaints Policy Rotherham Council Rotherham Council - Complaints Policy	Media from the Council, such as the Home Matters Magazine, provide information on how to make a complaint and directs customers to the

			<p>Home Matters Magazine</p> <p>Home Matters Magazine – Rotherham Metropolitan Borough Council</p> <p>Council’s complaint web pages</p> <p>Complaints – Rotherham Metropolitan Borough Council</p> <p>Complaint procedures</p> <p>Complaints Procedures – Rotherham Metropolitan Borough Council</p>	<p>website to view information about the complaints policies and procedures. This includes how to contact the Housing Ombudsman for further advice about complaints they are unhappy about. This information is included as part of the template for customer correspondence.</p>
3.6	<p>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.</p>	Yes	<p>Advocacy is referred to in the Council’s Complaints Policy</p> <p>Rotherham Council Rotherham Council - Complaints Policy</p>	<p>Complaints can be made by third parties including family members or support agencies. This is registered on the IT system and can be checked at the time of making a complaint.</p>
3.7	<p>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.</p>	Yes	<p>Complaint Policy and Complaint Procedure documents</p> <p>Complaints Procedures – Rotherham Metropolitan Borough Council</p>	<p>The Ombudsman contact details are also included within complaint responses and advice is given to customers that are not satisfied with how their complaint is being managed.</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	Corporate Complaint Manager is the Ombudsman liaison Officer. RMBC has a dedicated Complaints Team consisting of Complaints Officers and Assistant Complaint Officers under the Complaints Manager.	Although Complaints Officers can attend to any complaint, they manage a portfolio which is specialised in one of the directorates.
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	Complaints Officers (members of the Council's Complaint team) have access to management at all levels either in person or remote formats.	Complaints Officers are of management grade and are part of an independent Corporate Complaint Team (Independent to Housing Services)
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 manage complaints effectively	Yes	Training is provided via mandatory e-modules and departmental training e.g. Improving the Customer service through Equalities, Complaints and Customer Care.	There is also ongoing training to target staff groups with the Service. Both front line staff and managers

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	Approach to complaints is set out in the Council's Complaint Policy Rotherham Council Rotherham Council - Complaints Policy	Assurance is provided in every complaint acknowledgement letter.
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	Approach to complaints is set out in the Council's complaint Policy Rotherham Council Rotherham Council - Complaints Policy	The Council does not have a stage zero.
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	Approach to complaints is set out in the Council's complaint Policy Rotherham Council Rotherham Council - Complaints Policy	The Council has a two-stage complaint procedure for Landlord complaints
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	Council repairs contractors use the Council's Housing Complaint Procedure.	All Landlord function complaints are responded to via one complaint procedure.

5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Contractor complaint data included in the annual complain report. Complaints Annual Reports – Rotherham Metropolitan Borough Council	Contractor complaints are overseen directly by the Council’s Corporate Complaint Team.
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 statements and requested outcomes are recorded before the investigation and bullet pointed and addressed in turn in the response.	On allocation the complaint handler is advised to contact the complainant as part of the process to clarify any points required.
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	Tenants are advised on acknowledgement if any part of the complaint cannot be responded to via formal complaint procedure. Information and advice is provided.	Council Complaint Team are responsible for this part of the process.
5.8	At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position. c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully. 	Yes	Complaints are allocated to managers with specific expertise relating to the complaint or to a Complaint Officer who has a portfolio of work relating to the service.	Complaints are allocated or re-allocated to remove any conflict of interest. Complaint details are only shared with the minimum necessary personnel. Investigating Manager (Complaints Handler) is requested to speak to customer directly as part of

				their investigation into the complaint.
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	<p>Approach to complaints is set out in the Council's complaint Policy</p> <p>Rotherham Council Rotherham Council - Complaints Policy</p>	If this is not possible, e.g. the Council has been unable to meet a deadline, the customer is provided with an apology, justification, and an expected deadline
5.10	Landlords must make reasonable adjustments for residents where appropriate under the Equality Act 2010. Landlords must keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review.	Yes	<p>Approach to complaints is set out in the Council's complaint Policy</p> <p>Rotherham Council Rotherham Council - Complaints Policy</p>	<p>Complaints can be made by third parties including family members or support agencies. This is registered on the IT system and can be checked at the time of making a complaint.</p> <p>Translation services are available.</p> <p>Facilities are available for the hard of hearing or visually impaired.</p> <p>Letters can be provided in large print on request.</p> <p>There are several contact methods and visits can be made to provide statements.</p> <p>Equality is reinforced with training via mandatory e-modules and departmental</p>

				<p>training e.g. Improving the Customer service through Equalities, Complaints and Customer Care.</p> <p>Equalities monitoring is completed however voluntary participation means data is incomplete.</p>
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	<p>Approach to complaints is set out in the Council's complaint Policy</p> <p>Rotherham Council Rotherham Council - Complaints Policy</p>	The Council will not refuse to escalate a complaint unless it has valid reason to do so.
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	All complaints have a dedicated and labelled folder corresponding to the Complaints Tracker.	These are separated by service, stage, and financial 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	<p>Approach to complaints is set out in the Council's complaint Policy</p> <p>Rotherham Council Rotherham Council - Complaints Policy</p>	<p>The Council refers to The Ombudsman Guidance in these cases:</p> <p>Guidance on good practice: Remedies</p>

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	Complaint Policy. 9. Unreasonable complainant behaviour Rotherham Council Rotherham Council - Complaints Policy	As part of the Complaints Policy, the procedure is set out for managing unacceptable behaviour when pursuing a complaint.
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.	No	9. Unreasonable complainant behaviour Rotherham Council Rotherham Council - Complaints Policy	The Council's Unreasonable complainant behaviour policy will be reviewed to make sure that is in line is in line with the Equality Act 2010 and the policy wording changed to confirm this.

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	Approach to complaints is set out in the Council's complaint Policy Rotherham Council Rotherham Council - Complaints Policy	The Council will always attempt to resolve a complaint at the earliest opportunity. Complaint officers will identify desired outcomes in the first contact in hopes of providing immediate resolution.
6.2	Complaints must be acknowledged, defined, and logged at stage 1 of the complaint's procedure <u>within five working days of the complaint being received.</u>	Yes	Approach to complaints is set out in the Council's complaint Policy Rotherham Council Rotherham Council - Complaints Policy	All formal complaints are acknowledged within five working days or less.
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	The timescales to respond to complaints are set out in the Complaints Policy. 5.2 Timescales Rotherham Council Rotherham Council - Complaints Policy	Formal complaints are performance managed to try to achieve full compliance with timescales.
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	Yes	Approach to complaints is set out in the Council's complaint Policy	Extensions to the deadline are agreed with customers and a letter is sent out stating 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.		Rotherham Council Rotherham Council - Complaints Policy	reason and the new expected date they will receive this.
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	Information included in complaint extension letters.	Extension letters sent by the Council's Complaint Team.
6.6	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes	Approach to complaints is set out in the Council's complaint Policy Rotherham Council Rotherham Council - Complaints Policy	Responding Mangers are supported by the Complaint Team to meet these requirements in complaint handling practice
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	QA process and standard complaint response template	All responses are quality assured by a Complaint Officer to ensure these criteria are met.
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	Responding Mangers are supported by the Complaint Team to meet these requirements in complaint handling practice Approach to complaints is set out in the Council's complaint Policy Rotherham Council Rotherham Council - Complaints Policy	If residents raise issues in the early stages of the investigation, they will be included in the stage 1 response if they are related. If the stage 1 is complete or would become overdue, the complaint will be addressed separately.

6.9	<p>Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language:</p> <ul style="list-style-type: none"> a. the complaint stages. 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	QA process and standard complaint response template	<p>All responses are quality assured by a Complaint Officer against these criteria.</p> <p>Details for escalation are included in the response.</p>
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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	<p>Approach to complaints is set out in the Council's complaint Policy</p> <p>Rotherham Council Rotherham Council - Complaints Policy</p>	The Council will progress any part of a complaint that is not resolved to Stage 2 unless this part is excluded by the complaints policy. If this is the case, the customer will be provided with a letter explaining the reason we will not escalate the complaint and directing them to the Ombudsman if they would like a review of this decision.
6.11	Requests for stage 2 must be acknowledged, defined, and logged at stage 2 of the complaint's procedure within	Yes	Approach to complaints is set out in the Council's complaint Policy	Complaint Team receive and log all stage 2 requests.

	five working days of the escalation request being received.		Rotherham Council Rotherham Council - Complaints Policy	
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	Approach to complaints is set out in the Council's complaint Policy Rotherham Council Rotherham Council - Complaints Policy	Complaints Team ensure compliance
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Approach to complaints is set out in the Council's complaint Policy Rotherham Council Rotherham Council - Complaints Policy	Stage 1 responses are provided by the relevant service manager. Stage 2 investigations are completed by Complaint Officers.
6.14	Landlords must issue a final response to the stage 2 within 20 working days of the complaint being acknowledged.	Yes	Approach to complaints is set out in the Council's complaint Policy Rotherham Council Rotherham Council - Complaints Policy	Complaints Team ensure compliance
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	Approach to complaints is set out in the Council's complaint Policy Rotherham Council Rotherham Council - Complaints Policy	Extensions to the deadline are agreed with customers and a letter is sent out stating the reason and the new expected date they will receive this by.
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	Ombudsmen contact information is provided on the extension letter.	Complaints Team ensure compliance

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	<p>Approach to complaints is set out in the Council's complaint Policy</p> <p>Rotherham Council Rotherham Council - Complaints Policy</p>	<p>Complaints Team ensure compliance.</p> <p>Complaint Team response to all Stage 2 complaints.</p>
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	<p>Approach to complaints is set out in the Council's complaint Policy</p> <p>Rotherham Council Rotherham Council - Complaints Policy</p> <p>Stage 2 complaint response template.</p>	<p>Complaints Team ensure compliance.</p> <p>Complaint Team response to all Stage 2 complaints</p>
6.19	<p>Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:</p> <ol style="list-style-type: none"> a. the complaint stages. 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	<p>Approach to complaints is set out in the Council's complaint Policy</p> <p>Rotherham Council Rotherham Council - Complaints Policy</p> <p>Stage 2 complaint response template.</p>	<p>Complaints Team ensure compliance.</p> <p>Complaint Team response to all Stage 2 complaints</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	<p>Approach to complaints is set out in the Council's complaint Policy</p> <p>Rotherham Council Rotherham Council - Complaints Policy</p> <p>Stage 2 responses are signed off by the Director of Service.</p> <p>Staff interviewed are referenced in the response letter</p>	<p>Complaints Team ensure compliance.</p> <p>Complaint Team response to all Stage 2 complaints</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	<p>Approach to complaints is set out in the Council's complaint Policy</p> <p>Rotherham Council Rotherham Council - Complaints Policy</p> <p>Response template letters.</p> <p>Written training advice to investigating managers when complaint is allocated</p> <p>Ongoing training programme</p>	<p>Responses will acknowledge where something has gone wrong and set out actions that have been completed or planned to be completed to resolve the issue.</p>

7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	<p>The Council refers to The Ombudsman Guidance in these cases:</p> <p>Guidance on good practice: Remedies</p>	When appropriate, the Council will offer an apology, take remedial action, and when necessary, review financial redress according to the Ombudsman remedies guidance.
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	<p>Approach to complaints is set out in the Council's Complaint Policy</p> <p>Rotherham Council Rotherham Council - Complaints Policy</p> <p>Response template letters</p>	Complaints Team ensure compliance / provide advice and support throughout the process.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	<p>The Council refers to The Ombudsman Guidance in these cases:</p> <p>Guidance on good practice: Remedies</p>	Guidance is specifically referred to in the Council's Complaint Policy

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	<p>Self-Assessment is published here. Complaints Procedures – Rotherham Metropolitan Borough Council</p> <p>Complaint Annual Report is reported here. Complaints Annual Reports – Rotherham Metropolitan Borough Council</p>	<p>Annual Complaint report is reported to Council Strategic Leadership Team and then to the Council's Scrutiny Board (OSMB – public meeting)</p> <p>Self-Assessment is published on the Council's website.</p>
8.2	<p>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</p>	Yes	<p>Complaint Annual Report and minutes of the meeting</p>	<p>Reported to the Council's scrutiny meeting. Their response, and the minutes of the meeting, are also</p>

	complaints. The governing body's response to the report must be published alongside this.		Complaints Annual Reports – Rotherham Metropolitan Borough Council	published with the annual report.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	Self-Assessment is published here. Complaints Procedures – Rotherham Metropolitan Borough Council	Self-assessment published each year.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	The Council is 100% compliant with all Ombudsman recommendations All Ombudsman decisions reported to internal management meetings	Complaints Team ensure compliance
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	This will be managed by Complaints Team / Corporate Complaint Manager.	Complaints Team / Complaints Manager to ensure compliance

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	<p>Learning from complaint form.</p> <p>Learning from complaints included in complaint responses</p> <p>Learning from complaints reported to management meetings</p> <p>Approach to complaints is set out in the Council's Complaint Policy</p> <p>Rotherham Council Rotherham Council - Complaints Policy</p>	Learning from complaints process and compliance managed by Complaint Team
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	<p>Complaints reported management meetings monthly / quarterly.</p> <p>Complaints reported on an annual basis</p> <p>Complaints Annual Reports – Rotherham Metropolitan Borough Council</p>	Thematic trend analysis in the reports and learning from complaints reported.
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	Yes	<p>Learning from complaints process.</p> <p>Learning from complaints reported to all management meetings.</p>	Learning is reported on a regular basis to management meetings including the annual report.

	residents' panels, staff, and relevant committees.		<p>Learning from complaints included in Annual Complaint Report which is reported to Council's scrutiny meeting.</p> <p>Complaints Annual Reports – Rotherham Metropolitan Borough Council</p> <p>“Embedding Learning from complaints scheme”</p>	Enhanced learning from complaint scheme in operation to in operation to get the most of complaints feedback data.
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	Corporate Complaint Manger.	RMBC have a Complaint Manager who drives the positive complaint handling culture. There is a reporting schedule for each service including weekly dashboard, monthly, quarterly, and annual reports with various focuses.
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	Formal complaints are part of the portfolio of Councillor Saghir Alam, Cabinet Member for Finance & Safe and Clean Communities.	<p>Governance arrangements are currently under review.</p> <p>Consideration is being made in respect of the role of the Council's Housing Regulatory Board.</p>
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	<p>Annual complaint report.</p> <p>Complaints Annual Reports – Rotherham Metropolitan Borough Council</p> <p>Regular complaint reports and updates to the Councils Housing Regulatory Board.</p>	Governance and reporting to Housing Regulatory Board are currently under review.

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>Annual complaint report.</p> <p>Complaints Annual Reports – Rotherham Metropolitan Borough Council</p> <p>Regular complaint reports and updates to the Councils Housing Regulatory Board.</p>	<p>Governance and reporting to Housing Regulatory Board are currently under review.</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 as set by any relevant professional body. 	No	<p>Regular training provided to staff</p> <p>Regarding reporting of formal complaint themes and trends</p> <p>Oversight by Housing Regulatory Board.</p> <p>Reporting to Council's Scrutiny meeting</p> <p>Annual complaint report.</p> <p>Complaints Annual Reports – Rotherham Metropolitan Borough Council</p>	<p>Governance and reporting to Housing Regulatory Board are currently under review.</p>

