

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>Customer feedback and complaints handling policy Swindon Borough Council</p> <p>See page 2 of policy</p> <p><i>"A complaint is an expression of dissatisfaction, however made, about the standard of service, actions, or lack of actions by the organisation, its own staff, or those acting on its behalf, affecting an individual resident or group of residents"</i></p>	
1.3	<p>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</p>	Yes	<p>Customer feedback and complaints handling policy Swindon Borough Council</p> <p>See page 2 of policy</p> <p><i>"You do not have to use the word 'complaint' for it to be treated as such. A complaint that is submitted via a third party or representative must still be handled in line with the complaints policy".</i></p>	

	landlord's complaints policy.		Complaints, feedback and procedures Council housing handbook Swindon Borough Council	
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>In Oct 23 self-assessment we included the following</p> <p><i>“SBC - Is it a complaint, or a service request? Service requests and complaints are different. A service request is contact from a customer that brings a matter to the Council's attention for the first time, and requests a service offered by the Council. For example, reporting a missed bin collection or telling us about a noise nuisance. For information about how to raise a service request please visit our website www.swindon.gov.uk. A complaint is where the customer expresses dissatisfaction about the standard of a service, actions, or lack of actions by the Council and/or its staff. Service area will reject a complaint if it gets raised incorrectly, it gets refused and raised as request for service with the template above”</i></p>	<p>Present in Customer Feedback Policy</p> <p>Customer feedback and complaints handling policy Swindon Borough Council</p> <p>ii) Record, monitor and regularly review all service requests - to be set up – Addition to the Customer Complaints form requesting reference number for service request complaint is in relation to – this will enable tracking of service requests that have been raised as a complaint in error.</p>

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	1.5 is a new provision and we will need to advise staff	<p>i) Inform all staff (training) – training flow charts to be accessible to all staff including contact centre. Training to be added to internal training directory.</p> <p>ii) Customer Feedback Policy –is it a complaint, or a service request? A complaint can be made when the handling of the service request remains ongoing if the customer is not satisfied with our response to their request.</p> <p>Customer feedback and complaints handling policy Swindon Borough Council</p>
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	Yes	<p>Tenant satisfaction measure surveys to include the following:</p> <p><i>" If, after completing this survey, you would like to make a complaint about the service you have received, please contact us:</i></p> <p>Online via the Council's website @ www.swindon.gov.uk or by clicking on the link (https://www.swindon.gov.uk/info/20022/contacting-us/463/complaints-and-feedback)</p>	<p>This will be included in all future surveys.</p> <p>Customer feedback and complaints handling policy Swindon Borough Council</p> <p>Complaints and feedback Swindon Borough Council</p>

	<p>also must provide details of how residents can complain.</p>	<p>Phone on 01793 445500 <i>Post to Customer Services Reception Wat Tyler House Princes Street Swindon SN1 2JG</i></p> <p>In Person by visiting our customer hubs in our five core libraries where our multi-skilled library staff can support you</p> <p>To read our Customer feedback and complaints handling policy please visit: https://www.swindon.gov.uk/downloads/file/6402/customer</p>	
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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	All complaint refusals from the service area are reviewed and the refusal approval or rejection is held within the complaints team. Refusal reasons are all listed on the internal complaints system and recorded as such for audit.	
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	<p>SBC Customer Feedback Policy Areas that are excluded from this policy:</p> <ul style="list-style-type: none"> -There are some exclusions that apply when submitting a complaint, which relate to statutory, legal limitations and include the following: <ul style="list-style-type: none"> - Requests for services are not classified as complaints (e.g. I want to report that a street light is not working) - Complaints about non-council services, organisations or individuals, such as noise disturbance complaints or food hygiene complaints. Please use 	<p>Customer feedback and complaints handling policy Swindon Borough Council</p>

	<ul style="list-style-type: none"> Matters that have previously been considered under the complaints policy. 		<p>the council's Report an Issue function to report these types of issues.</p> <ul style="list-style-type: none"> - Appeals, which are dealt with as part of the standard appeals process (e.g. decisions about Policy Planning, Housing, Council Tax, Benefits etc.) - Issues which are, or could be, the subject of court or tribunal proceedings, or which are likely to be put in the hands of the Council's insurers - Complaints concerning a disagreement about, or refusal to accept, a lawful discretion that the Council is applying 	
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	Customer feedback and complaints handling policy Swindon Borough Council	
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	Yes	<p>Currently, this is sent for every rejection/refusal Rejections: Requests for service where a new case has been raised: Thank you for contacting us with this enquiry. Please note that the</p>	Customer feedback and complaints handling policy Swindon Borough Council

	<p>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.</p>		<p>content of this complaint does not meet the Council's policy criteria for a formal complaint, on the basis that it is a request for service from our *** team. The team will arrange for the issue to be resolved under the new reference ****. For details of exclusions to our complaints process, please see our Customer Feedback and Complaints Handling Policy. – included in policy</p> <p>-----</p> <p>Requests for service where the issue has already been dealt with: Thank you for contacting us with this enquiry. Please note that the content of this complaint does not meet the Council's policy criteria for a formal complaint, on the basis that it is a request for service from our *** team. The team have contacted you regarding this issue already and have explained that this case will not be accepted. For details of exclusions to our complaints process, please see our Customer Feedback and Complaints Handling Policy.</p>	
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2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Customer feedback and complaints handling policy Swindon Borough Council	We will record, monitor and audit exclusions Included in our training for managers we look at why people may not be able to complain independently, importance of exploring desired resolutions as this may give further insight in to what the tenant is complaining about – does this change the decision.
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Section 3: Accessibility and Awareness

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
3.1	Landlords must make it easy for residents to complain by providing different channels through which they can make a complaint. Landlords must consider their duties under the Equality Act 2010 and anticipate the needs and reasonable adjustments of residents who may need to access the complaints process.	Yes	<p>Customer feedback and complaints handling policy Swindon Borough Council</p> <p>Can't do it online? Swindon Borough Council</p> <p>Customer Feedback Policy also states:</p> <p><i>“Who to contact if you need further assistance We fully appreciate and understand that some people may need advice and support from an independent advocate to make their complaint, to escalate an ongoing issue, or to understand our procedures and outcomes. We also understand that additional support may be required for people who are vulnerable, or have communication difficulties due to finding it difficult to express their views, or where English is not their first language. If you should experience any issues when trying to make a complaint, or require any further assistance or adjustments, please contact our Customer Services team, who</i></p>	Easy read leaflet to be distributed to libraries along with posters. Leaflet to be added to website under Complaints page

			<i>will be able provide you with the necessary help, advice and support you need”.</i>	
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	Training package for all managers to be implemented as mandatory training e-learning. All community library hub staff to be trained on raising a complaint/process Complaint process to be added to SW intranet and internal desktop pop up system.	Training to take place by 21 st August 2024. Training registers can be submitted to HOS if required
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	Number of complaints benchmarked Complaints are promoted as a learning opportunity Complaint numbers are published	House mark benchmarking Tenant Focus quarterly stats remind staff that complaints are welcomed
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	Yes	2 stage process documented with timescales. Published on website Customer feedback and complaints handling policy Swindon Borough Council	Tenant Focus articles will contain complaint themes and link to complaints webpage

	published on the landlord's website.			
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	Policy will be published on our website	Customer feedback and complaints handling policy Swindon Borough Council
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	As set out in Customer Feedback Policy	As per 3.1 options/details added to customer complaint form Customer feedback and complaints handling policy Swindon Borough Council
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	HO details are included in quarterly complaints reports to tenants. Also included in Stage 1 and Stage 2 letters.	Customer feedback and complaints handling policy Swindon Borough Council

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	Customer Services Team – Link Officer Head of Housing Commissioning and Strategy New Complaints Resolution Manager (Cust Services)	
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	All staff can be accessed via our internal complaints system, and intranet.	
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	Training on complaints is provided. Refresher training to be undertaken and training records kept. Staff have within the last 12 months attended a HQN complaints course. Further training requirement has been	Further training is accessible via the Complaints Resolution Manager and our internal training system.

			identified as part of recent Complaints Review	
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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	Customer feedback and complaints handling policy Swindon Borough Council	
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	We do not have additional stages, complaint is registered as a Stage 1	
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	2 stage as detailed in Council's Policy Customer feedback and complaints handling policy Swindon Borough Council Complaints and feedback Swindon Borough Council	

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	Customer feedback and complaints handling policy Swindon Borough Council	
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	There are no third parties that execute our responsibilities as a landlord	
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	All template letters have been revised and now cover all these points	
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	All template letters have the complaint definition added and formatted to acknowledge all parts of the complaint including areas that require signposting	

5.8	<p>At each stage of the complaints process, complaint handlers must:</p> <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	<p>Weekly, monthly and quarterly meetings will take place to review complaints.</p> <p>Terms of reference can be submitted if required</p>	
5.9	<p>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.</p>	Yes		<p>Extensions have to be agreed by the Complaints Team and agreed by the customer. If the customer disagrees the extension will not be granted.</p> <p>A new process is being agreed that details acceptable reasons for extension:</p> <ul style="list-style-type: none"> -staff sickness -Complex complaint spanning over 12 months.
5.10	<p>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</p>	Yes	Online complaints form	<p>Our new complaints form asks if there are reasonable adjustments required by the customer</p>

	well as a record of any disabilities 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	All complaints are considered and escalated at customer request with request for dissatisfaction reasons.	
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	This is collected on our CRM system (JADU)	
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		Complaint audits to take place quarterly by Complaint Officers. Concerns regarding response time to be escalated to Complaint Resolution Manager.
5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents	Yes	Customer Behaviour Policy Customer behaviour policy Swindon Borough Council	

	and/or their representatives. Landlords 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	Restrictions are implemented on a case by case basis. The Policy states that restrictions will be appropriate, proportionate and tailored to deal with the individual's circumstances. Customer behaviour policy Swindon Borough Council	

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	Customer feedback and complaints handling policy Swindon Borough Council	As per 2.5 consideration to be given to any additional vulnerabilities with regards to the tenant Monitoring can be populated for complaint response times for stage 1 and stage 2
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	Complaints are acknowledged within 3 working days of receipt. Staff are reminded in staff newsletter to seek agreement from resident when resolving a complaint and to evidence the agreement. Customer feedback and complaints handling policy Swindon Borough Council	.
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working</u>	Yes	As per policy	

	days of the complaint being acknowledged.		Customer feedback and complaints handling policy Swindon Borough Council	
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	As per point 5.9	
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	As per points 5.9, and 6.4	New email template now generated via the customer portal contains details of the Housing Ombudsman
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		Complaints audit - will now close/resolve until recommendations are completed. 'Outstanding recommendations' status to be added. Rule to be added that complaint will not close until actions are acknowledged as being completed with a date. Customer provided with final complaint closure

				notification once actions have been completed.
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	Letter template covers this requirement	
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		New complaints form now in place that requests details of the service request. Customers can include their service request number.
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 	Yes	Letter template covers this requirement	

	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	Customer Feedback Policy	Customer feedback and complaints handling policy Swindon Borough Council
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	Acknowledgements are sent within 3 days Customer feedback and complaints handling policy Swindon Borough Council Also details on our website	
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		Complaints audit
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Senior officer will investigate and respond	Evidence from CRM system on cases

6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes		Reported on Housing Scorecard/TSMs
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		As per 6.5 actions
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		As per 6.5 actions
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		Complaints audit As per 6.7
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	Letter templates define the complaint to ensure all points raised are responded to and addressed	Complaints audit As per 6.8

6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: 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	Letter template covers this requirement	Customer feedback policy has been amended to include Housing Ombudsman details Customer feedback and complaints handling policy Swindon Borough Council
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes		New monitoring meetings are in place. Terms of reference can be submitted to the Housing Ombudsman if required

Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:	Yes	Evidence of this is held on our CRM system	Quarterly Complaints audits quality assure our responses ensuring all complaints are addressed thorough and

	<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. 			apologies/compensation is offered as appropriate.
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Housing Compensation Policy Housing compensation policy Swindon Borough Council	
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		Remedy letters will include dates for completion. Outstanding action boxes to be added to customer complaints form as per 6.6
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Housing compensation policy Swindon Borough Council	

Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. 	Yes	<ul style="list-style-type: none"> a. Self-assessment completed b. Quantitative and qualitative data included c. incidents of non-compliance included in report as noted by Ombudsman d. service improvements/recommendations completed 	Annual report to be reviewed by Cabinet in September 2024. This is due to the current election period. This will then be published on the website.

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	<p>i) The Regulator of Social Housing enquires@rsh.gov.uk or call: 0300 124 5225</p> <p>ii) check how best we record the response from Governing body</p> <p>iii) publish Gov body response on SBC website</p>	ii) request to be made to governing body of input in to annual report. Cabinet Meeting in September 2024 due to election period.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	Last self-assessment was Oct 2023, senior restructure undertaken and then new self-assessment June 24	
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	As per Oct 2023	On website
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	<p>Customer feedback and complaints handling policy Swindon Borough Council</p> <p>Complaints and feedback Swindon Borough Council</p>	

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	evidence to be collated from new complaints meetings	Complaint resolution manager to devise a process to evidence the completion of outstanding actions as per 6.6 and use this to identify common themes.
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 need to collate evidence from new complaints meetings	Evidence to be collated from themes and monitoring meetings taking place quarterly starting from September 2024, to include a tenant scrutiny panel.
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	Information regarding complaints to be published in our tenant communications	As per 9.1 report to be shared with Head of Housing Transformation with comments included in annual published report
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,	Yes	Head of Housing Commissioning and Strategy Head of Customer Services / Complaints Resolution Manager	Complaint Resolution Manager now in post.

	serious risks, or policies and procedures that require revision.			
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').	No	Cabinet Member responsible for complaints is to be confirmed.	
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.	No		To be included in corporate report to submit to cabinet in September 2024
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: <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 	No		DASHBOARD to be established to record quarterly and annual report. Reports to be shared with MRC and presented for sign off by cabinet in Sept 2024

	orders related to severe maladministration findings; and d. annual complaints performance and service improvement report.			
9.8	Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to: 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.	Yes		Complaints training to be included in induction – eLearning. Specialist manager training to be delivered as mandatory training for new and current managers. Complaints flow chart/easy read to be set as lock screen for staff.