

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>“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.”</p> | Yes | This is stated in CBH Complaints policy at section 2.0 | |
| 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 landlord’s complaints policy.</p> | Yes | This is stated in CBH Complaints policy at section 2.0 | |
| 1.4 | <p>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</p> | Yes | This is stated in CBH Complaints policy at 4.0 | |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|--|------------------|--|--------------------------|
| | requests are not complaints, but must be recorded, monitored and reviewed regularly. | | | |
| 1.5 | A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains. | Yes | This is stated in CBH Complaints policy at section 4.0 | |
| 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 | This is stated in CBH Complaints policy at section 3.1 | |

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 | This is stated in CBH Complaints policy at section 7.0 | |
| 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 | This is stated in CBH Complaints policy at section 3.1 | |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|--|------------------|--|--------------------------|
| | <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 | This is stated in CBH Complaints policy at section 8.0 | |
| 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 stated in CBH Complaints policy at section 7.0 | |
| 2.5 | Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint. | Yes | This is stated in CBH Complaints policy at section 7.0 | |

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 | This is stated in CBH Complaints policy at section 10.0 | |
| 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 | This is stated in CBH Complaints policy at section 5.0 | |
| 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 | This is stated in CBH Complaints policy at section 5.0 | |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|--|------------------|--|--------------------------|
| 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 | <p>CBH Complaints Policy is available via the 'Our Publications' section of the CBH Website. CBH will make this document available in other formats on request as per the reasonable adjustments noted at Section 8.0 of the policy. Policy Section 10.0 clearly details our two complaint stages.</p> <p>CBH website provides clear information about how a complaint can be raised. Complaints policy and process are hosted in relevant areas of the CBH website.</p> | |
| 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 | This is stated in CBH Complaints policy at section 13.0. | |
| 3.6 | Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or | Yes | This is stated in CBH Complaints policy at section 10.0 | |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|--|------------------|---|--------------------------|
| | accompanied at any meeting with the landlord. | | | |
| 3.7 | Landlords must provide residents with information on their right to access the Ombudsman service and how the individual can engage with the Ombudsman about their complaint. | Yes | This is stated in CBH Complaints policy at section 13.0 | |

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 | <p>CBH have a dedicated Complaints Officer</p> <p>This is stated in CBH Complaints policy at section 8.0</p> | |
| 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 | The Complaint Officer has autonomy to resolve complaints promptly and fairly. The Complaint Officer engages with teams to resolve the complaint effectively | |
| 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 | Yes | <p>CBH have a dedicated Complaints Officer who has oversight of complaints handling and learning from complaints. All staff who manage complaints have received relevant training. CBH have developed a learning framework which is applied to all</p> | |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|---|------------------|--|--------------------------|
| | a core service and must be resourced to handle complaints effectively | | complaints to identify and manage trends and patterns. | |

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 | CBH have a single policy for dealing with complaints | |
| 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 | CBH have reviewed complaints handling processes and do not have any extra named stages. As dissatisfaction is received it is logged as 'complaint received' within the QL management system and allocated to the Complaints Officer for acknowledgement | |
| 5.3 | A process with more than two stages is not acceptable under any circumstances as this will make the | Yes | CBH have a two-stage complaint procedure | |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|-----------------------|--|-------------------------|---|---------------------------------|
| | complaint process unduly long and delay access to 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 | CBH is wholly responsible for all complaint responses and will be the point of liaison where the matter involves a third party such as contractor | |
| 5.5 | Landlords are responsible for ensuring that any third parties handle complaints in line with the Code. | Yes | CBH do not delegate service complaint to 3 rd parties but do encourage their close involvement throughout the investigation and resolution process | |
| 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 | This is stated in CBH Complaints policy at section 9.1. | |
| 5.7 | When a complaint is acknowledged at either stage, landlords must be clear | Yes | This is stated in CBH Complaints policy at section 9.1 | |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|--|------------------|---|--------------------------|
| | which aspects of the complaint they are, and are not, responsible for and clarify any areas where this is not clear. | | and contained in letter templates. | |
| 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 | CBH's approach to complaint handling approach is stated at section 8.0. This approach is set out in training providing to staff members who handle complaints. | |
| 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 | This is stated in CBH Complaints policy at section 9.1 & 9.2. | |
| 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 | | At the outset of a complaint CBH will consider in conjunction with the resident whether any reasonable adjustments are required, this will be kept under active review throughout the | |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|---|------------------|---|--------------------------|
| | resident has disclosed. Any agreed reasonable adjustments must be kept under active review. | | <p>process. CBH record on the complaint case what reasonable adjustments have been requested.</p> <p>Any details of disabilities disclosed during the complaint process will be updated on the relevant customer record on our QL management system.</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 | Valid reasons are set out in CBH Complaints policy at section 9.2. | |
| 5.12 | A full record must be kept of the complaint, and the outcomes at each stage. This must include the original complaint and the date received, all correspondence with the resident, correspondence with other parties, and any relevant supporting documentation such as reports or surveys. | Yes | <p>Complaints are managed as cases in the QL management system, and all written correspondence is store in a specific Documotive folder assigned to the case along with any relevant supporting documentation.</p> <p>This is stated in CBH Complaints policy at section 8.0.</p> | |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|---|------------------|---|--------------------------|
| 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>The Complaints Officer and complaints handling staff members have autonomy to identify and implement remedies at both stages of our complaints process.</p> <p>This is stated in CBH Complaints policy at section 8.0.</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 | <p>CBH have an Unacceptable Behaviour Policy.</p> <p>This is stated in CBH Complaints policy at section 16.0</p> | |
| 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 | <p>CBH undertake a proportionality assessment before imposing any restrictions.</p> <p>This is stated in CBH Complaints policy at section 16.0.</p> | |

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 | <p>On receipt of a complaint, the Complaints Officer assesses its complexity and highlights any identified complexity to the colleague assigned to its investigation.</p> <p>This is stated in CBH Complaints policy at section 8.0.</p> | |
| 6.2 | Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure within five working days of the complaint being received. | Yes | <p>CBH aim to demonstrate excellent customer service by acknowledging complaints as soon as possible, within 5 working days.</p> <p>This is stated in CBH Complaints policy at section 9.1.</p> | |
| 6.3 | Landlords must issue a full response to stage 1 complaints within 10 working days of the complaint being acknowledged. | Yes | <p>CBH's QL case management system provides tasks / actions which identify closure dates to investigating officers, these</p> | |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|--|------------------|--|--------------------------|
| | | | <p>change colour as the time progresses to highlight the priority.</p> <p>This is stated in CBH Complaints policy at section 9.1</p> | |
| 6.4 | <p>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.</p> | Yes | <p>CBH aims to discuss any required extension directly with the resident by telephone or in person.</p> <p>The details of the extension and expected timescale response are provided in writing in a letter generated from our QL management system.</p> <p>This is stated in CBH Complaints policy at section 9.1</p> | |
| 6.5 | <p>When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.</p> | Yes | <p>CBH's extension letter is generated from the QL system, and this information is included as standard,</p> <p>This is stated in CBH Complaints policy at section 9.1.</p> | |
| 6.6 | <p>A complaint response must be provided to the resident when the answer to the complaint is known, not</p> | Yes | <p>This is stated in CBH Complaints policy at section 9.1</p> | |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|--|------------------|--|--------------------------|
| | 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. | | & and reinforced to staff during complaints training | |
| 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 | This is stated in CBH Complaints policy at Section 9.1. Complaint handling officers are prompted by guidance notes in our letter templates to provide this information | |
| 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 | This is stated in CBH Complaints policy at 8.0. The Complaint Officer will manage any instances of additional complaints being raised to determine whether they are included in a current investigation or subject of a new complaint case, | |
| 6.9 | Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: a. the complaint stage b. the complaint definition | Yes | This is stated in CBH Complaints policy at Section 9.1 & guidance notes within our letter templates prompt complaint handling staff | |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|--|------------------|-----------------------------------|--------------------------|
| | 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 details of how to escalate the matter to stage 2 if the individual is not satisfied with the response | | members to include these details. | |

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 | This is stated in CBH Complaints policy at section 9.2. All escalations to stage 2 are managed by the Complaints Officer and Tenancy Services Manager | |
| 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 | This is stated in CBH Complaints policy at section 9.2. Our QL case management module includes actions to escalate a complaint to stage 2, and to generate an | |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|---|------------------|--|--------------------------|
| | | | acknowledgement letter to the resident. | |
| 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 | <p>This is stated in CBH Complaints policy at section 9.2.</p> <p>The Complaints Officer will make reasonable efforts to understand the residents' ongoing dissatisfaction, to ensure that the focus of the stage 2 investigation is accurate.</p> | |
| 6.13 | The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1. | Yes | <p>A member of staff who has had no prior involvement at Stage 1 will consider a Stage 2 complaint.</p> <p>This is stated in CBH Complaints policy at section 9.2.</p> | |
| 6.14 | Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged. | Yes | This is stated in CBH Complaints policy at 9.2. | |
| 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 | Yes | <p>CBH aims to discuss any required extension directly with the resident by telephone or in person.</p> <p>The details of the extension and expected timescale response are provided in writing in a letter</p> | |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|---|------------------|--|--------------------------|
| | good reason, and the reason(s) must be clearly explained to the resident. | | generated from our QL management system. This is stated in CBH Complaints policy at 9.2. | |
| 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 | CBH's extension letter is generated from the QL system, and this information is included as standard, This is stated in CBH Complaints policy at 9.2. | |
| 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 | This is stated in CBH Complaints policy at 9.2 and reinforced to staff during complaints training. | |
| 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 | This is stated in CBH Complaints policy at 9.2 and reinforced to staff during complaints training. | |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|---|------------------|--|--------------------------|
| 6.19 | <p>Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:</p> <ul style="list-style-type: none"> a. the complaint stage b. the complaint definition c. the decision on the complaint d. the reasons for any decisions made e. the details of any remedy offered to put things right f. details of any outstanding actions and g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied | Yes | <p>This is stated in CBH Complaints policy at Section 9.2 & guidance notes within our letter templates prompt complaint handling staff members to include these details.</p> | |
| 6.20 | <p>Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.</p> | Yes | <p>CBH's Stage 2 process involves a panel made up of a director, board member and scrutiny panel member. Also present at the panel will be the Stage 1 & stage 2 investigating officers and any other relevant staff members</p> | |

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>CBH recognises the importance of acknowledging where things have gone wrong and identifying to a resident how things will be put right.</p> <p>This is stated in CBH Complaints policy at section 12.0.</p> | |
| 7.2 | Any remedy offered must reflect the impact on the resident as a result of any fault identified. | Yes | CBH consider Housing Ombudsman guidance and previous rulings when determining the suitability of any remedy. | |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|---|------------------|--|--------------------------|
| | | | This is stated in CBH Complaints policy at section 12.0. | |
| 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>CBH's letter templates have guidance around clearly setting out details of making things right.</p> <p>This is stated in CBH Complaints policy at section 12.0.</p> | |
| 7.4 | Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies. | Yes | <p>As per 7.2</p> <p>This is stated in CBH Complaints policy at section 12.0.</p> | |

Section 8: Putting things right

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|--|------------------|--|--------------------------|
| 8.1 | <p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept c. any findings of non-compliance with this Code by the Ombudsman d. the service improvements made as a result of the learning from complaints e. any annual report about the landlord's performance from the Ombudsman and f. any other relevant reports or publications produced by the | Yes | <p>This is stated in CBH Complaints policy at 18.0.</p> <p>Annual report will be published on CBH's website.</p> | |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|---|------------------|--|--------------------------|
| | Ombudsman in relation to the work of the landlord | | | |
| 8.2 | The annual complaints performance and service improvement report must be reported to the landlord's governing body (or equivalent) and published on the on the section of its website relating to complaints. The governing body's response to the report must be published alongside this. | Yes | CBH Board receive annual compliments, comments, and complaint report CBH Complaints policy. This is stated in CBH Complaints policy at section 18.0. | |
| 8.3 | Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures. | Yes | This is stated in CBH Complaints policy at section 22.0. | |
| 8.4 | Landlords may be asked to review and update the self-assessment following an Ombudsman investigation. | Yes | This is stated in CBH Complaints policy at section 22.0. | |
| 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 is stated in CBH Complaints policy at section 17.0. | |

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>CBH have created a complaint learning framework.</p> <p>Complaints learning is reviewed quarterly, and any development actions monitored for completion.</p> <p>This is stated in CBH Complaints policy at section 18.0</p> | |
| 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>CBH welcomes complaints and feedback.</p> <p>Complaints handling officers are encouraged to involve all colleagues linked to the complaint in the investigation and as part of determining outcomes and learning in order that all parties feel involved in the process.</p> <p>This is stated in CBH Complaints policy at section 8.0</p> | |
| 9.3 | Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report back on wider learning and | Yes | <p>CBH Board receive annual compliments, comments, and complaint reports. Annual report is published on CBH website.</p> | |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|--|------------------|---|--------------------------|
| | improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees. | | This is stated in CBH Complaints policy at section 18.0. | |
| 9.4 | Landlords must appoint a suitably senior lead person as accountable for their complaint handling. This person must assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision. | Yes | . Head of Community Services is accountable for complaint handling. | |
| 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'). | | Included in section 19.0 of the CBH Complaints Policy. Appointment of Member responsible for Complaints appointed | |
| 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. | | As above | |
| 9.7 | As a minimum, the MRC and the governing body (or equivalent) must receive: | | This will be achieved through a quarterly/annual report. | |

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|---|------------------|---|--------------------------|
| | <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 | | | |
| 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 | | <p>The objectives of CBH's complaint handling are stated in Included in section 20.0 of the CBH Complaints Policy at section 2.1.</p> | |