

## Appendix 4b: 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.

### ***Please note:***

Information about how we handle complaints is published on our website here:

[Complain about the Council Housing Service | Sheffield City Council](#)

On this website page are is an important document which is referred to throughout this self-assessment. This is our Corporate Complaints Handling Policy ("Policy").

Specific sections within this document are referred to below as evidence of our compliance with the Code. These sections are numbered – eg "Policy 3.1." Please use the above website link if you wish to view any of these sections.

**If there is any other information mentioned in this document which you would like to know more about or see examples of, please feel free to email us and we will provide any additional information that we can: [GetInvolved@sheffield.gov.uk](mailto:GetInvolved@sheffield.gov.uk)**

## Section 1: Definition of a complaint

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                         | Comply: Yes / No | Evidence                                                                                                        | Commentary / explanation |
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| 1.2            | A complaint must be defined as:<br><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              | Our definition complies<br><br>Evidence:<br><ul style="list-style-type: none"><li>Policy 1.2</li></ul>          |                          |
| 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              | We are compliant.<br><br>Evidence:<br><ul style="list-style-type: none"><li>Policy 1.3, 1.4, 1.5, 1.7</li></ul> |                          |
| 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                                                          | Yes              | We are compliant.<br><br>Evidence:<br><ul style="list-style-type: none"><li>Policy 1.6</li></ul>                |                          |

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|     | 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 | <p>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 1.8</a></li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                      |  |
| 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 | <p>Automated responses for completed text surveys signpost to complaints info, and this info is also part of our telephone surveys. There is also a link to complaints information on our Tenant Engagement web page.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 1.9</a></li> <li>• <a href="#">Tenant Engagement web page: <u><a href="https://haveyoursay.sheffield.gov.uk/tenant-engagement-landing-page">https://haveyoursay.sheffield.gov.uk/tenant-engagement-landing-page</a></u></a></li> </ul> |  |

## Section 2: Exclusions

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Comply: Yes / No | Evidence                                                                                                                                                                                                             | Commentary / explanation |
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| 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              | Our policy is clear that we will deal with all complaints through the agreed process unless certain conditions apply.<br><br>Evidence:<br><ul style="list-style-type: none"><li>Policy 2.2-2.3, 2.8 – 2.14</li></ul> |                          |
| 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:<br><ul style="list-style-type: none"><li>The issue giving rise to the complaint occurred over twelve months ago.</li><li>Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court.</li><li>Matters that have previously been considered under the complaints policy.</li></ul> | Yes              | Our policy is clear on what circumstances would mean that a matter would not be considered as a complaint.<br><br>Evidence:<br><ul style="list-style-type: none"><li>Policy 2.8 – 2.14</li></ul>                     |                          |
| 2.3            | Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless                                                                                                                                                                                                                                                                                                                                                                                                                                                        | Yes              | We are compliant.<br><br>Evidence:                                                                                                                                                                                   |                          |

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|     | 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.                                                                                                                                                                                                   |     | <ul style="list-style-type: none"> <li>Policy 2.10</li> </ul>                                                                                                                                                                                             |  |
| 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 | <p>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>Policy 2.11</li> </ul>                                                                                                                                                   |  |
| 2.5 | Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.                                                                                                                                                                                                                                             | Yes | <p>Complaints are always dealt with on their own merits, and are only not accepted as complaints when one or more of the reasons outlined in the Policy applies.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>Policy 2.8 – 2.14</li> </ul> |  |

### 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>Customers can make a complaint through our website (on-line form), by email, by telephone, in writing or in person. We do not require customers to make their complaint in writing.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>Policy 3.1, 3.2</li> </ul> <p>Our policy is clear that we will consider and deliver on our duties under the Equality Act 2010.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>Policy 3.1</li> </ul> |                          |
| 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              | <p>We are compliant. All housing staff are required to undertake mandatory e-learning on the complaints process.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>Policy 3.2</li> </ul>                                                                                                                                                                                                                                                                  |                          |
| 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                                                                                                                                                                | Yes              | <p>We welcome complaints, our complaints process is well-publicised (as evidenced below) and we have a</p>                                                                                                                                                                                                                                                                                                                                                          |                          |

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|     | complaint volumes are potentially a sign that residents are unable to complain.                                                                                                                                                                                                  |     | significant number of complaints every month.                                                                                                                                                                                                                                                                                 |  |
| 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>We are compliant. The complaints policy is published on the website and covers all the required elements.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 3.3, 3.4</a></li> <li>• Webpage: <a href="#">Complain about the Council Housing Service   Sheffield City Council</a></li> </ul> |  |
| 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 | <p>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 3.4</a></li> </ul>                                                                                                                                                                                                      |  |
| 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 | <p>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 3.5</a></li> </ul>                                                                                                                                                                                                      |  |
| 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 | <p>Complaints information is clearly published on the website, and all complaints correspondence to customers references the Housing Ombudsman.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 3.7</a></li> </ul>                                                                           |  |

- Webpage: [Complain about the Council Housing Service | Sheffield City Council](#)
- Housing Factsheet sent with all complaints responses:



Housing  
Factsheet.docx

## Section 4: Complaint Handling Staff

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                                     | Comply: Yes / No | Evidence                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Commentary / explanation |
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| 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>SCC has designated Complaints Managers and a specific team – the Corporate Feedback &amp; Complaints Team – assigned to take responsibility for complaint handling, including liaison with the relevant Ombudsman and ensuring complaints are reported to the governing body (or equivalent). In addition, there are a number of Complaints Investigating/ Accountable Managers in the Housing Service who are responsible for investigating and responding to individual complaints.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 4.2</a></li> </ul> |                          |
| 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              | <p>Our Complaints Officers have all of this, and we commit to this in our policy.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 4.3</a></li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                        |                          |
| 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              | <p>Our CRM system is configured to support us to capture the learning gained from complaints. Performance reports are circulated to Directors to enable them to identify key issues / trends, etc.</p> <p>All staff are offered training on complaints – this training emphasises that complaints are valuable feedback to be learned from, and that complaint handling is a key priority.</p>                                                                                                                                                                                               |                          |

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|  |  |  | <p>Every team / service has at least one Investigating Manager and one Accountable Officer – larger teams have more – to ensure that complaints can be handled effectively.</p> <p>Policy 4.4</p> |  |
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## Section 5: The Complaint Handling Process

| Code provision | Code requirement                                                                                                                                                                                                                                    | Comply: Yes / No | Evidence                                                                                                                                                                                                                                                                                                                                                                                                                    | Commentary / explanation |
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| 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              | <p>We are compliant</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>Policy, specifically 5.1</li> </ul>                                                                                                                                                                                                                                                                                                         |                          |
| 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              | <p>We focus on early and local resolution and wherever possible seek to resolve the complaint at the first point of contact or within 5 working days.</p> <p>However, all complaints – regardless of how quickly they are resolved – will go through the same 2-stage process.</p> <ul style="list-style-type: none"> <li>Evidence: Policy 5.1, 5.2</li> <li>Webpage: <a href="#">Complain about the Council</a></li> </ul> |                          |

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|     |                                                                                                                                                                                                                                                                                   |     | <a href="#">Housing Service   Sheffield City Council</a>                                                                                                                                                                                                                                                                                                       |  |
| 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 | <p>Our process is compliant and only has 2 clear stages.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>Policy 5.1, 5.2</li> </ul>                                                                                                                                                                                                                |  |
| 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 | <p>We handle tenant complaints directly and don't pass these on to our contractors or partners to deal with. Customers are <b>not</b> expected to go through two complaints processes.</p> <p>Where a complaint is made to a contractor or party, this will be dealt with in line with the Council's complaints policy.</p> <p>Evidence:</p> <p>Policy 1.4</p> |  |
| 5.5 | Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.                                                                                                                                                                            | Yes | As per info above.                                                                                                                                                                                                                                                                                                                                             |  |

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| 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 | <p>Our template for complaints acknowledgements include this information.</p> <p>Investigating Managers are expected to contact the customer from the start to understand the complaint and clarify any points of uncertainty.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• Policy 6.1.2</li> <li>• Letter templates, example:</li> </ul>  <p>Stage 1<br/>Acknowledgement ter</p> |  |
| 5.7 | When a complaint is acknowledged at either stage, landlords must be clear which aspects of the complaint they are, and are not, responsible for and clarify any areas where this is not clear.                                                                                                                                                                       | Yes | As above                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |  |
| 5.8 | At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> <li>a. deal with complaints on their merits, act independently, and have an open mind;</li> <li>b. give the resident a fair chance to set out their position;</li> <li>c. take measures to address any actual or perceived conflict of interest; and</li> </ul> | Yes | Our complaints process sets out the approach complaints handlers are expected to take, and this is reinforced in the training which all Investigating and Accountable Managers must undertake. It incorporates all of this.                                                                                                                                                                                                                                                           |  |

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|      | d. consider all relevant information and evidence carefully.                                                                                                                                                                                                                                                     |     | It is also outlined in our policy.<br><br>Evidence:<br><br>• <a href="#">Policy 1.10</a>                                                                        |  |
| 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 | We are compliant.<br><br>Evidence:<br><br>• <a href="#">Policy 1.10</a>                                                                                         |  |
| 5.10 | Landlords must make reasonable adjustments for residents where appropriate under the Equality Act 2010. Landlords must keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review. | Yes | We are compliant.<br><br>Evidence:<br><br>• <a href="#">Policy 3.1</a>                                                                                          |  |
| 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 | We are compliant.<br><br>Evidence:<br><br>• <a href="#">Policy 5.4</a>                                                                                          |  |
| 5.12 | A full record must be kept of the complaint, and the outcomes at each stage. This must include the original complaint and the date received, all correspondence with the resident, correspondence with other parties, and                                                                                        | Yes | We are compliant. All complaints are recorded on the CRM system, on which all details of a complaint are stored – including the original complaint, all related |  |

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|      | any relevant supporting documentation such as reports or surveys.                                                                                                                                                                                                       |     | correspondence and other supporting documentation.<br><br>Evidence:<br><br>• <a href="#">Policy 5.5</a> |  |
| 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 | We are compliant.<br><br>Evidence:<br><br>• <a href="#">Policy 5.6</a>                                  |  |
| 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 | We are compliant.<br><br>Evidence:<br><br>• <a href="#">Policy 5.7, Section 14</a>                      |  |
| 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 | We are compliant.<br><br>Evidence:<br><br>• <a href="#">Policy Section 14</a>                           |  |

## Section 6: Complaints Stages

### Stage 1

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                                                                                                        | Comply: Yes / No | Evidence                                                                                                                                                                                                                                                                     | Commentary / explanation |
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| 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>We focus on early and local resolution and wherever possible seek to resolve the complaint at the first point of contact or within 5 working days.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>Policy 1.10 (3<sup>rd</sup> bullet point), 5.2</li> </ul>  |                          |
| 6.2            | Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <b><u>within five working days of the complaint being received</u></b> .                                                                                                                                                                                                                                     | Yes              | <p>Our policy is compliant. Our CRM system is configured to help ensure that the date of acknowledgement is properly recorded, and all relevant staff reminded of how to do this.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>Policy 6.1.1, 6.1.2</li> </ul> |                          |
| 6.3            | Landlords must issue a full response to stage 1 complaints <b><u>within 10 working days</u></b> of the complaint being acknowledged.                                                                                                                                                                                                                                                                    | Yes              | <p>Our policy is compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>Policy 6.1.3</li> </ul>                                                                                                                                                              |                          |
| 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.                                                                                                                                                                                                            | Yes              | <p>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>Policy 6.1.4</li> </ul>                                                                                                                                                                     |                          |

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|     | Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident.                                                                                                                                                                                                                                                                          |     |                                                                                                          |  |
| 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 | <p>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>Policy 6.1.4</li> </ul> |  |
| 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 | <p>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>Policy 6.1.6</li> </ul> |  |
| 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 | <p>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>Policy 6.1.7</li> </ul> |  |
| 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 | <p>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>Policy 6.1.5</li> </ul> |  |

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| 6.9 | Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> <li>g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</li> </ul> | Yes | <p>We are compliant, and our template for response letters includes all of this.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 6.1.7</a></li> <li>• Letter template for Stage 1 responses:</li> </ul> <div style="text-align: center;"> <br/> STAGE 1<br/> Investigation Respons </div> |  |
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## Stage 2

| Code provision | Code requirement                                                                                                                                                                                   | Comply: Yes / No | Evidence                                                                                                                                                                                                                                                                                             | Commentary / explanation |
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| 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>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 6.2.1</a></li> </ul>                                                                                                                                                                           |                          |
| 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              | <p>Our policy and process are compliant. Our CRM system is configured to help ensure that the date of acknowledgement is properly recorded, and all relevant staff reminded of how to do this.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 6.2.3</a></li> </ul> |                          |

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|      |                                                                                                                                                                                                                                                                                                                                   |     |                                                                                                                                   |  |
| 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>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 6.2.4</a></li> </ul>        |  |
| 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>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 6.2.6</a></li> </ul>        |  |
| 6.14 | Landlords must issue a final response to the stage 2 <b><u>within 20 working days</u></b> of the complaint being acknowledged.                                                                                                                                                                                                    | Yes | <p>Our policy is compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 6.2.9</a></li> </ul> |  |
| 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 | <p>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 6.2.10</a></li> </ul>       |  |
| 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 | <p>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 6.2.10</a></li> </ul>       |  |
| 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                                                                                                                                                                             | Yes | <p>We are compliant.</p> <p>Evidence:</p>                                                                                         |  |

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|      | the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.                                                                                                                                                                                                                                                                                                                                                                                                                   |     | <ul style="list-style-type: none"> <li>Policy 6.2.7</li> </ul>                                                                                                                                                                                                                                                                                             |  |
| 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>Our letter templates for Stage 2 responses cover these points.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>Letter template for Stage 2 responses (see box below)</li> <li>Policy 6.2.8</li> </ul>                                                                                                                                       |  |
| 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"> <li>the complaint stage;</li> <li>the complaint definition;</li> <li>the decision on the complaint;</li> <li>the reasons for any decisions made;</li> <li>the details of any remedy offered to put things right;</li> <li>details of any outstanding actions; and</li> <li>details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.</li> </ol> | Yes | <p>Our letter templates for Stage 2 responses cover these points.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>Letter template for Stage 2 responses:</li> </ul> <div data-bbox="1160 1034 1227 1098" data-label="Image"> </div> <p>Stage%202%20response%20template.docx</p> <ul style="list-style-type: none"> <li>Policy 6.2.8</li> </ul> |  |
| 6.20 | Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.                                                                                                                                                                                                                                                                                                                                                                                                                                         | Yes | Our Policy confirms that we have no further stages, and signposts to the Ombudsman if the customer wishes to take it further.                                                                                                                                                                                                                              |  |

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|  |  |  | Evidence: <ul style="list-style-type: none"> <li>Policy 6.2.1</li> <li>Letter template for Stage 2 responses, above</li> </ul> |  |
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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"> <li>Apologising;</li> <li>Acknowledging where things have gone wrong;</li> <li>Providing an explanation, assistance or reasons;</li> <li>Taking action if there has been delay;</li> <li>Reconsidering or changing a decision;</li> <li>Amending a record or adding a correction or addendum;</li> <li>Providing a financial remedy;</li> <li>Changing policies, procedures or practices.</li> </ul> | Yes              | <p>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>Policy 7.1</li> </ul> |                          |
| 7.2            | Any remedy offered must reflect the impact on the resident as a result of any fault identified.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Yes              | <p>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>Policy 7.2</li> </ul> |                          |

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| 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>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 7.3</a></li> </ul> |  |
| 7.4 | Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.                                                                        | Yes | <p>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 7.4</a></li> </ul> |  |

## Section 8: Self-assessment, reporting and compliance

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Comply: Yes / No | Evidence                                                                                                                                                                                                                                                                                       | Commentary / explanation |
|----------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|
| 8.1            | Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:<br>a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.<br>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;<br>c. any findings of non-compliance with this Code by the Ombudsman;<br>d. the service improvements made as a result of the learning from complaints;<br>e. any annual report about the landlord's performance from the Ombudsman; and<br>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. | Yes              | <p>We are compliant</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li><a href="#">Complain about the Council Housing Service   Sheffield City Council</a> – the annual report and self assessment are attached as downloadable documents on this page</li> <li>Policy 8.1</li> </ul> |                          |
| 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                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Yes              | Our annual complaints report is shared with the Strategy and Resources Policy Committee (SRPC) and published on our website, along with SRPC's response to it.                                                                                                                                 |                          |

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|     | response to the report must be published alongside this.                                                                                                                                                                                                                                                          |     | <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Complain about the Council Housing Service   Sheffield City Council</a> – the annual report is attached as a downloadable document on this page, and the Governing Body's response is included within the report.</li> </ul> |  |
| 8.3 | Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.                                                                                                                                                                                          | Yes | We would do this if those circumstances applied                                                                                                                                                                                                                                                    |  |
| 8.4 | Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.                                                                                                                                                                                                             | Yes | We would do this if the Ombudsman requested it                                                                                                                                                                                                                                                     |  |
| 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 | We would do this if required.                                                                                                                                                                                                                                                                      |  |

## Section 9: Scrutiny & oversight: continuous learning and improvement

| Code provision | Code requirement                                                                                                                                                                                                                                     | Comply: Yes / No | Evidence                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Commentary / explanation |
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| 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>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 9.1</a></li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                             |                          |
| 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>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 9.2</a></li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                             |                          |
| 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              | <p>We are compliant. Examples of 'You Said We Did' improvements are publicised quarterly on the Council's website. We also published our annual complaints performance and improvement report, which also describes our learning from complaints, on our complaints webpage.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 9.3</a></li> <li>• <a href="#">You said, we did   Sheffield City Council</a></li> <li>• <a href="#">Complain about the Council Housing Service   Sheffield City Council</a></li> </ul> |                          |
| 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,                                                 | Yes              | <p>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 9.4</a></li> </ul>                                                                                                                                                                                                                                                                                                                                                                                                                             |                          |

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|     | 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').                                                                                                                                                                                                                                                                                                                            | Yes | <p>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 9.5</a></li> </ul>                                                                                                                                                                                                                                          |  |
| 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>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 9.5-9.7</a></li> </ul>                                                                                                                                                                                                                                      |  |
| 9.7 | <p>As a minimum, the MRC and the governing body (or equivalent) must receive:</p> <ul style="list-style-type: none"> <li>a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;</li> <li>b. regular reviews of issues and trends arising from complaint handling;</li> <li>c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and</li> <li>d. annual complaints performance and service improvement report.</li> </ul> | Yes | <p>We are compliant.</p> <p>Evidence:</p> <ul style="list-style-type: none"> <li>• <a href="#">Policy 9.7</a></li> <li>• <a href="#">Complain about the Council Housing Service   Sheffield City Council</a> – the annual report is attached as a downloadable document on this page, and the Governing Body's response is included within the report.</li> </ul> |  |
| 9.8 | Landlords must have a standard objective in relation to complaint                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | Yes | We are compliant.                                                                                                                                                                                                                                                                                                                                                 |  |

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|  | <p>handling for all relevant employees or third parties that reflects the need to:</p> <ul style="list-style-type: none"><li>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</li><li>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</li><li>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</li></ul> |  | <p>Evidence:</p> <ul style="list-style-type: none"><li>• <a href="#">Policy 4.1</a></li></ul> |  |
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