

Housing Ombudsman Complaint Handling Code Self-Assessment
Eastbourne Homes Ltd on behalf of Eastbourne Borough Council

This self-assessment form has been completed by the Customer Experience and Performance Lead (interim) and approved by The Chair of Eastbourne Homes Limited and the Chair of Service and Performance Committee (responsible for complaints)

This document It will be reviewed at least annually and published as part of the annual complaint's performance and service improvement report on our website.

To note some of the actions identified as partial compliance within the self-assessment recognise that

- some actions have been introduced during quarter 4 2023/24 as part of our work to revise governance arrangements in Eastbourne BC following the dissolution of the ALMO (Arm's Length Management Organisation)
- are subject to approval of the revised Complaints Policy being considered by Eastbourne BC Cabinet in July 2024.

Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	A complaint must be defined as: <i>'an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.'</i>	yes	Complaints Management policy – subject to approval by Cabinet July 2024	<p>See policy - How we define a Complaint</p> <p>A complaint is defined as an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the organisation, its own staff, or those acting on its behalf, affecting an individual or group of individuals. Each complaint will be judged on its own merit.</p> <p>As a corporate complaints policy the word individual is used not resident</p>
1.3	A resident does not have to use the word 'complaint' for it to be treated as such. Whenever a resident expresses dissatisfaction 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	Complaints Management policy – subject to approval by Cabinet July 2024	<p>See policy - Making a Complaint</p> <p>... When an officer first receives information from a customer which is indicating dissatisfaction, whether this is over the phone, by email or face to face, the first response should always be to try to resolve the issue. If further enquires are needed to resolve the issues, or if the customer requests it, the issue will be logged as a complaint.</p> <p>This is covered in internal training and guidance for staff</p>
1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring	yes	Complaints Management policy – subject to approval by Cabinet July 2024	<p>See policy - What is Not a Complaint</p> <p>A service request, which is defined as a request that the organisation provides or improves a service, fixes a problem or reconsiders a decision</p> <p>This is covered in internal guidance and training for staff</p>

	action to be taken to put something right. Service 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	Internal guidance	This is covered under internal guidance and our policy allows for a complaint to be made at any point when the customer is dissatisfied with the service they receive.
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	Survey scripts	<p>During the year 20223/24 Acuity who undertake our surveys across Lewes and Eastbourne have asked respondents if they would like a member of staff to contact them in respect of any concern they have raised.</p> <p>As of this current year the scripts are being amended to ask the respondent <i>If you are dissatisfied with the service provided, (client name) do have a complaints process you can access by calling (client tel no.), emailing (client email address) or by completing a form on their website where you will find more information.</i></p>

Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.1	Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint they must be able to evidence their reasoning. Each complaint must be considered on its own merits	Yes	Complaints Management policy – subject to approval by Cabinet July 2024	See policy- What is Not a Complaint If we are unable to accept the customer complaint, we will advise the customer of this, provide evidence as to why we have reached this conclusion, and refer them to the relevant Ombudsman.
2.2	A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include: <ul style="list-style-type: none"> • The issue giving rise to the complaint occurred over twelve months ago. • Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. • Matters that have previously been considered under the complaints policy. 	Partial	Complaints Management policy – subject to approval by Cabinet July 2024	See policy - Timescales and exceptions Further amendment has been requested in relation to the policy to ensure clarity and compliance
2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the	Yes	Complaints Management policy – subject to approval by	See policy - Timescales and exceptions ‘The council is committed to investigating complaints that have occurred within 12 months of the customer becoming aware of the issue or the issue occurring. Complaints made

	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.		Cabinet July 2024	outside of this time limit, where there are good reasons to do so, the council will apply discretion and the complaint may still be accepted.'
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	Complaints Management policy – subject to approval by Cabinet July 2024	See policy - What is NOT a complaint <ul style="list-style-type: none"> - Poor service standards - Repeated service failures - Equality breaches - Staff/contractor complaint
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	yes	Complaints Management policy – subject to approval by Cabinet July 2024	See policy - How we define a complaint 'Each complaint will be judged on its own merit'

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	yes	Complaints Management policy – subject to approval by	See policy - How the customer makes a Complaint This includes <ul style="list-style-type: none"> - Website / email / social media - Telephone

	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.		Cabinet July 2024	<ul style="list-style-type: none"> - Face to face - Letter - To a Council Officer <p>All policies undergo Equalities & Fairness analyses. All staff attend mandatory E&D training</p> <p>Additional staff training is proposed in 2024/25 on the Attitudes, Respect and Rights</p>
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	Complaints Management policy – subject to approval by Cabinet July 2024	<p>See policy - How the customer makes a Complaint</p> <p>As above</p>
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.	partial	Complaints annual review to Lead officers and to Governing bodies	<p>Quarterly complaints reports have identified complaint trends. During Q1 of 2024/25 we have commenced quarterly monitoring meetings with service leads. Quarterly reporting will be formalised as part of the new Governance structure being implemented / reviewed across both Local Authorities and regular reports to the Responsible Members for Complaints standardised. Communication to tenants of complaints performance will be enhanced on the website and through our newsletters.</p>
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	Yes	Complaints Management policy – subject to approval by	<p>See policy - How the Customer makes a complaint</p> <p>If the customer requires any reasonable adjustment to be made in line with the Equality Act, then this will be recorded as part of the complaint and kept under review throughout</p>

	at each stage, and the timeframes for responding. The policy must also be published on the landlord's website.		Cabinet July 2024	the process. Examples may include translation and interpretation services, large print and assistance to record the complaint. This policy is published on our website Consultation with tenant groups has taken place and this policy amended as a result.
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	Complaints Management policy – subject to approval by Cabinet July 2024	See policy - introduction Within Eastbourne and Lewes we regularly use our newsletters to promote the complaints handling code. We promote Complaints handling awareness courses to our involved residents We publicised the opportunity to join the Housing Ombudsman's tenant panel and we have a number of residents on this group.
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	Complaints Management policy – subject to approval by Cabinet July 2024	See policy - How we define a complaint A complaint submitted by a third party or a customer's representative will be handled in the same way as a complaint made directly by the customer. Appropriate authority must be provided to act on the customers behalf before any enquiries are carried out.
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	Complaints Management policy – subject to approval by Cabinet July 2024	See policy - Responding to Complaints When responding to a complaint the IO should normally include h) Details of the relevant Ombudsman at every stage of the complaint process including response extension times

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	Yes	Part of the Homes First establishment	We have a dedicated team of Specialist Advisors within our Customer Experience Team responsible for complaint handling and a dedicated 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'. The role may be in addition to other duties.			investigator in Property Services. The Customer Experience and Performance Lead / or Team Leader is responsible for liaising with Housing Ombudsman, and the Member Responsible for Complaints and reporting to governing body.
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	Part of the Homes First establishment	The Specialist Advisors within our Customer Experience Team have good working relationship across the organisation. Has strong housing expertise across a range of disciplines. The Team has authority to champion complainants to resolve disputes promptly and fairly.
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	Complaints reporting will form part of new Governance terms of reference being introduced.	The Customer Experience Specialist Advisors sit within Homes First who are responsible for delivering housing services across Lewes and Eastbourne Councils. Each department is required to follow our Complaints Management Policy. Complaints and lessons learnt are recorded centrally. A quarterly report is provided to each Governing body within the Local Authority. Feedback on learning from complaints will be reported to tenants quarterly.

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	yes	Corporate Complaints Management policy – subject to	Our complaints management policy covers Lewes and Eastbourne Councils and covers complaints relevant to housing complainants alongside those relating to Local Government

	treated differently if they complain.		approval by Cabinet July 2024	generally. Specific reference is made where appropriate to housing related 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	Corporate Complaints Management policy – subject to approval by Cabinet July 2024	See policy - Making a Complaint the first response should always be to try to resolve the issue. We operate a 2 stage internal process – stage 3 is referral to the Housing Ombudsman
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	Corporate Complaints Management policy – subject to approval by Cabinet July 2024	We operate a 2 stage internal process - stage 3 is referral to the Housing 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	Corporate Complaints Management policy – subject to approval by Cabinet July 2024	See Policy - How we Define a complaint If you are dissatisfied with the actions, outcomes, service or behaviour of a contractor or person delivering a service for Lewes District Council or Eastbourne Borough Council All complaints are managed internally by Homes First on behalf of Eastbourne and Lewes Council which includes complaints as above, in line with the Complaints Code.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	yes	Corporate Complaints Management policy – subject to	All complaints are managed internally by Homes First on behalf of Eastbourne and Lewes Council in line with the Complaints Code

			approval by Cabinet July 2024	and includes complaints relating to service provided on behalf of either Council.
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	Standard template for correspondence	Our internal process for managing complaints requires a member of staff to contact (by phone or email) any new complainant at both stage 1 or 2 to establish the cause of the complaint / escalation. This information is then confirmed in writing to the tenant in a format which includes complaint definition
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	Corporate Complaints Management policy – subject to approval by Cabinet July 2024	See Policy - Timescales and Exceptions As per our Policy when an exception is applied this is explained to the complainant. In addition the Customer Experience Complaints Team member who contacts the complainant seeks to clarify aspects of any complaint which we may not be responsible for. This will then be confirmed in writing to the complainant
5.8	At each stage of the complaints process, complaint handlers must: 1. deal with complaints on their merits, act independently, and have an open mind; 2. give the resident a fair chance to set out their position;	yes	Corporate Complaints Management policy – subject to approval by Cabinet July 2024 And staff complaints procedures	See Policy - How we Define a complaint ...Each complaint will be judged on its own merit.... Staff investigating the complaint will have received Complaints training. The investigation / approach and resulting correspondence is randomly and regularly peer reviewed (usually by the Team Leader)

	<p>3. take measures to address any actual or perceived conflict of interest; and</p> <p>4. consider all relevant information and evidence carefully.</p>			
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	Corporate Complaints Management policy – subject to approval by Cabinet July 2024	<p>See Policy - Extensions</p> <p>In exceptional circumstances an extension of a further 10 days is allowable, with the justification for this extension being clearly explained to the customer. If 10 days is not sufficient the Council will agree a new response timeline with the customer</p>
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.	partial	Corporate Complaints Management policy – subject to approval by Cabinet July 2024	<p>See Policy - How the customer Makes a Complaint</p> <p>If the customer requires any reasonable adjustment to be made in line with the Equality Act, then this will be recorded as part of the complaint and kept under review throughout the process. Examples may include translation and interpretation services, large print and assistance to record the complaint.</p> <p>Staff undertake mandatory E&D training which addresses ‘reasonable’ adjustments. Our priority for 2024/25 is to develop our policy on reasonable adjustments linked to developing a vulnerability strategy with residents</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	yes	Corporate Complaints Management policy – subject to	<p>See Policy - Timescales and Exceptions</p> <p>Our Complaints Management Policy clarifies what is classed as an exception and these mirror those contained within the code. The</p>

	must clearly set out these reasons, and they must comply with the provisions set out in section 2 of this Code.		approval by Cabinet July 2024	right to take the decision to the Housing Ombudsman is also covered.
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.	Partial	Internal staff guidance and Customer Relationship Management (CRM) software	Our internal process is detailed in staff guidance. Currently all complaint information is recorded on our CRM software. Following some complaint cases it was evident that other service areas are not using our CRM software to record correspondence / reports. Following a training session with staff in property services to improve record keeping we are piloting an approach to work with property services software alongside our CRM records.
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	Internal staff guidance and Corporate Complaints Management policy – subject to approval by Cabinet July 2024	See Policy - Remedial action Our Customer facing policy outlines what remedies we can take to resolve issues and these remedies can be applied at any time. This is also covered in staff training
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	Corporate Complaints Management policy – subject to approval by Cabinet July 2024 Unreasonable & Unreasonably Persistent	See Policy - Unreasonable and unreasonably persistent complainants Linked to this section of the policy is our Unreasonable & Unreasonably Persistent Complainant procedure

			Complainant procedure	
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	Unreasonable & Unreasonably Persistent Complainant procedure	Decision is to record a complainant as unreasonable / unreasonably persistent is taken by Corporate Management Team. Decisions are reviewed regularly and can be appealed through the complaints process. Policy has been subject to an equality and fairness analysis.

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	Corporate Complaints Management policy – subject to approval by Cabinet July 2024	<p>See Policy - Stages of considering a complaint</p> <p>Initially the complaint should be discussed informally with the customer. If resolution cannot be achieved this way, then the complaint should be moved to an investigation stage. Complaints resolved immediately by the Customer Contact Team will be recorded as a stage one response.</p> <p>All complaints which come through to the Customer Experience Team have been logged as complaints and managed in line with the policy. The complainant is contacted to establish the issues and very attempt is made to resolve the issues at the earliest opportunity, whilst formally responding to the complaint.</p>
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the	Yes	Part of the current and draft Complaints	See Policy - Stage 1 Complaint

	complaints procedure <u>within five working days of the complaint being received.</u>		Management policy June 2024.	A stage 1 complaint will be acknowledged within 5 days of receipt and responded to within 10 working days of the acknowledgement
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Part of the current and draft Complaints Management policy June 2024.	See Policy - Stage 1 Complaint A stage 1 complaint will be acknowledged within 5 days of receipt and responded to within 10 working days of the acknowledgement
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident.	Yes	Corporate Complaints Management policy – subject to approval by Cabinet July 2024	See Policy - Extensions In exceptional circumstances an extension of a further 10 days is allowable, with the justification for this extension being clearly explained to the customer. If 10 days is not sufficient the Council will agree a new response timeline with the customer
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	Corporate Complaints Management policy – subject to approval by Cabinet July 2024	See Policy Section - Extensions The Council will advise the customer or the relevant Ombudsman if an extension is proposed or agreed. Notification of this has been added to letter templates since quarter 4
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	Yes	Internal staff guidance	This approach has now been embedded within internal staff guidance and is included in staff training. There remains a caveat that if the tenant expressly wishes us not to close a complaint until the matter is fully concluded we will respect their wishes and confirm this to them accordingly

	must still be tracked and actioned promptly with appropriate updates provided to the resident.			
6.7	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	Internal staff guidance	The complaint definition is established by the Customer Experience team during the initial contact call / email with the complainant and confirmed to the customer in writing. The formal response to the complainant covers the issues identified from the initial contact and subsequent acknowledgement letter. The formal response will also include any additional issues raised during the course of the investigation.
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	Corporate Complaints Management policy – subject to approval by Cabinet July 2024	See Policy - Stage 1 Complaint If an additional issue, clearly related to the original complaint, is raised during the investigating period then the response should address this new issue alongside the original complaint. If a new issue is identified which is not related to the original complaint, or the stage 1 response has already been completed, then it should be addressed as a new complaint.
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;	Yes	Complaints Management policy – subject to approval by Cabinet July 2024	See Policy - Responding to Complaints When responding to a complaint the IO should normally include; a) The complaint stage b) The complaint definition

	<p>b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</p>			<p>c) The decision on the complaint d) The reasons for the decision e) The details of any remedy offered to put things right f) Details of any outstanding actions g) Details of how to escalate the matter to the next stage, if not satisfied h) Details of the relevant Ombudsman at every stage of the complaint process including response extension times</p> <p>Standard template letters highlight these areas for response.</p>
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Stage 2

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.10	If all or part of the complaint is not resolved to the resident's satisfaction at stage 1, it must be progressed to stage 2 of the landlord's procedure. Stage 2 is the landlord's final response.	Yes	Complaints Management policy – subject to approval by Cabinet July 2024	See Policy - Stage 2 complaint If a customer is not satisfied with the investigation that has been carried out at stage 1 they may ask for it to be escalated to stage 2.
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	Complaints Management policy – subject to approval by Cabinet July 2024	See Policy - Stage 2 complaint A stage 2 complaint will be acknowledged within 5 days of receipt of the request to escalate

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	Internal Complaints process – Guidance	All stage 2 complainants are contacted by a member of staff to understand why the resident remains dis-satisfied.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Complaints Management policy – subject to approval by Cabinet July 2024	See Policy - Stage 2 Complaint The Investigating Officer for stage 2 should be different to the Investigating Officer for stage 1. The Team leader for the team reviews all stage 2 complaints is it in the policy
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	Complaints Management policy – subject to approval by Cabinet July 2024	See Policy - Stage 2 Complaint A stage 2 complaint will be acknowledged within 5 days of receipt of the request to escalate and responded to within 20 working days of the acknowledgement
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.	Partial	Complaints Management policy – subject to approval by Cabinet July 2024	See Policy - Extensions In exceptional circumstances an extension of a further 10 days is allowable, with the justification for this extension being clearly explained to the customer. If 10 days is not sufficient the Council will agree a new response timeline with the customer Further work is required to response within given timescales, closing complaint cases on a promise of action requires additional monitoring which forms part of the new process.

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	Corporate Complaints Management policy – subject to approval by Cabinet July 2024	<p>See Policy Section - Extensions The Council will advise the customer or the relevant Ombudsman if an extension is proposed or agreed.</p> <p>Notification of this has been added to letter templates</p>
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	Internal staff guidance	This approach has now been embedded within internal staff guidance and is included in staff training. There remains a caveat that if a tenant expressly wishes us not to close a complaint until the matter is fully concluded we will respect their wishes and confirm this to them accordingly
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	Internal staff guidance	The complaint definition is established by the Customer Experience team during the initial acknowledgement call with the complainant. The discussion is confirmed to the resident in writing. The formal response to the complaint covers the issues identified and will include any additional issues raised during the course of the investigation.
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: a. the complaint stage; b. the complaint definition;	Yes	Complaints Management policy – subject to approval by Cabinet July 2024	<p>See Policy - Responding to Complaints When responding to a complaint the IO should normally include;</p> <ul style="list-style-type: none"> i) The complaint stage j) The complaint definition k) The decision on the complaint

	<p>c. the decision on the complaint;</p> <p>d. the reasons for any decisions made;</p> <p>e. the details of any remedy offered to put things right;</p> <p>f. details of any outstanding actions; and</p> <p>g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.</p>			<p>l) The reasons for the decision</p> <p>m) The details of any remedy offered to put things right</p> <p>n) Details of any outstanding actions</p> <p>o) Details of how to escalate the matter to the next stage, if not satisfied</p> <p>p) Details of the relevant Ombudsman at every stage of the complaint process including response extension times</p> <p>Standard template letters highlight these areas for response.</p>
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Internal complaints procedure	Our internal investigation approach involves all stakeholders relevant to the case in question, alongside independent verification of the information provided. Case work is regularly peer reviewed.

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; 	Yes	Complaints Management policy – subject to approval by Cabinet July 2024	<p>See Policy - Remedial action</p> <p>If the council upholds the complaint in full or part, it is expected that remedial action will be taken. This could include one or more of the following:</p> <p>a) <u>Apology</u> – the council says sorry for what has happened. Acknowledging where things have gone wrong; Providing an explanation, assistance, or reasons.</p> <p>b) <u>Action</u> – the council puts right what was wrong for the customer, if this is possible. This may also be</p>

	<ul style="list-style-type: none"> • 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. 			<p>accompanied by a commitment on the part of the council to instigate change in procedure, or training for staff, to ensure the same thing does not happen again.</p> <p>c) <u>Providing a financial remedy</u></p>
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Partial	Internal staff guidance on compensation	This guide is being revised with staff and engaged residents and the Member Responsible for Complaints - due date for completion August 24
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	Template letters	Template letters – where a case has been upheld or partially upheld - include an apology, an outlined of action taken or to be taken in discussion with the tenant. If financial remedy is being consider this will be identified in the letter
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Internal guidance on remedies	This guide is being revised with staff and engaged residents and the Member Responsible for Complaints – due date for completion August 24

Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ol 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; & f. any other relevant reports or publications produced by the Ombudsman in 	yes	The annual report and self-assessment are on the website	<p>Eastbourne 2023/24 Eastbourne Homes Limited Board reviewed the annual complaint performance and service improvement report on behalf of tenants in Eastbourne Their comments have been included in the Eastbourne report.</p> <p>For 2024/25 (during which the management for Eastbourne Council housing stock will revert back to Eastbourne Borough Council). Quarterly updates with the Responsible Member for Complaints - RMC (Housing portfolio holder) and the Strategic Tenant Group in Eastbourne will address these specific areas and be consolidated into an annual report for approval by the RMC, and summarised in the annual report to cabinet.</p> <p>Lewes 2023/24 The annual report has been considered by the portfolio holder for housing and Responsible Member for Complaints (RMC) along with the chair of TOLD – the representative body for tenants. Their comments have been included in the Lewes report. In 2024/25 quarterly reports will be considered by TOLD and the RMC. A consolidated annual report will be approved by the RMC, and summarised in the annual report to cabinet.</p> <p>The reporting and approval process will also include the annual consolidated self assessment against the Housing Ombudsman's Complaints Code for both authorities.</p>
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	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 section of its website relating to complaints. The governing body's response to the report must be published alongside this.	yes	Draft annual report and self assessment are on the website – and will be finalised at the next meetings of the relevant Governing Body	See above The draft documents have been considered by both Board members responsible for complaints during 2023/24 in Eastbourne and the Responsible Member of Complaints in Lewes and the chair of TOLD (Tenants of Lewes District).
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Partial	Governance terms of reference Eastbourne – to be approved Aug 24 Lewes to be approved Nov 2024 at the TOLD AGM	This self-assessment has been reviewed alongside the changes in governance arrangements in Eastbourne following the dissolution of the ALMO. Governance is also being reviewed in Lewes as part of these changes and will result in enhanced reporting and transparency on complaints
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	Statement as part of the introduction to this self assessment and in the annual reports to Governing bodies	This self-assessment will be reviewed at least annually and in line with Housing Ombudsman feedback
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,	Yes	Statement as part of the introduction to this self assessment and in the annual reports	

	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.		to Governing bodies	
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Section 9: Scrutiny & oversight: continuous learning and improvement

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
9.1	Landlords must look beyond the circumstances of the individual complaint and consider whether service improvements can be made as a result of any learning from the complaint.	Partial	Reports and notes from quarterly service improvement meetings with service leads	Currently a spreadsheet records service improvements recommended following complaint investigations. If the issue is a significant concern this will be raised immediately with the service lead. Quarterly review meetings have been set up with service leads from quarter 1 2024/25 to discuss the complaint outcomes and agree actions. These will be monitored by the Tenant Service Improvement Partnership and form part of the quarterly monitoring report to Governing bodies.
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	Reports and notes from quarterly service improvement meetings with service leads	In addition to quarterly reviews of complaints and recommended service improvements. These will form part of the feedback to residents in the quarterly newsletter.
9.3	Accountability and transparency are also integral	yes	Individual issues / log of	Learning and improvements form part of the Governance structure reporting in both

	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.		improvements / reports to leads	Eastbourne and Lewes and in addition this is covered in the quarterly tenants newsletter.
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	Complaints Management policy – subject to approval by Cabinet July 2024	The Customer Experience and Performance Lead is responsible for <ul style="list-style-type: none"> - reviewing complaint management process and performance - reporting to Governing Bodies - coordinating discussions with Service leads on improvements / trends
9.5	In addition to this a member of the governing body (or equivalent) must be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This person is referred to as the Member Responsible for Complaints ('the MRC').	yes	The MRC will be formalised within the new terms of reference for governing bodies going forward	Member Responsible for Complaints ('the MRC') has been appointed in Lewes and Eastbourne – in both local authorities this is the portfolio holder for housing. Discussions have been had with both MRCs as to the role and guidance from the Housing Ombudsman's website relating to the role shared with them
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	yes	The MRC will be formalised within the new terms of reference for governing bodies going forward	Initial briefings have been carried out with the MRCs and information from the Housing Ombudsman website relating to the role provided. Regular meetings will be set up to support the post holder and ensure that reporting on complaints management

	must have access to suitable information and staff to perform this role and report on their findings.			performance and service improvements is covered.
9.7	<p>As a minimum, the MRC and the governing body (or equivalent) must receive:</p> <ul style="list-style-type: none"> a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations & progress made in complying with orders related to severe maladministration findings d. annual complaints performance and service improvement report. 	Partial	Draft terms of reference	<p>This forms part of the new Terms of reference for the new Governance structure in both Lewes and Eastbourne</p> <p>In Eastbourne a complaints report is included in the suite of standard reports scheduled in the proposed terms of reference for the new strategic and operational governance groups and the MRC. This will be approved in August 2024.</p> <p>Lewes DC will formally consider new terms of reference at their AGM in November. In the meantime a formal complaints report has been added to the regular Key Performance Indicator information considered by TOLD / and the MRC</p>
9.8	Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to	Partial	Objective setting is work in progress for 2024/25	<p>Advice has been provided to each service and each service lead is required to set objectives. This will be randomly checked during the year with relevant managers in Homes First</p> <p>This will be included in our training on complaints</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; andc. act within the professional standards for engaging with complaints as set by any relevant professional body.			
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