

Appendix A: Self-assessment form

This self-assessment form should be completed by the complaints officer and it must be reviewed and approved by the landlord's governing body at least annually.

Once approved, landlords must publish the self-assessment as part of the annual complaints performance and service improvement report on their website. The governing body's response to the report must be published alongside this.

Landlords are required to complete the self-assessment in full and support all statements with evidence, with additional commentary as necessary.

We recognise that there may be a small number of circumstances where landlords are unable to meet the requirements, for example, if they do not have a website. In these circumstances, we expect landlords to deliver the intentions of the Code in an alternative way, for example by publishing information in a public area so that it is easily accessible.

Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	A complaint must be defined as: <i>‘an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.’</i>	Yes	Clause 3.1 in the Complaint policy covers all of these points.	
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	Clause 3.1 in the Complaint policy. Clause 6.4 and 6.5 in the Complaint policy.	Clause 3.1 explains what a complaint is “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 a resident or group of residents” and that ‘The word complaint is not required for a complaint to be considered under the complaints policy, and

				residents can submit a complaint at any time.' Complaints can be submitted by third parties or representatives as explained in clause 6.4 and 6.5.
1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be recorded, monitored and reviewed regularly.	Yes	Complaints policy 1.6.1 and 3.3	Complaints policy 1.6.1 defines a service request. Service request, are recorded and monitored through Enfield Connected and 3.3 outlines that a complainant can be dissatisfaction with the response to a service request, even if the handling of a service request remains ongoing.
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	Complaints policy 3.1 and 3.2	Staff are trained, and regularly reminded to pass on complaints from residents if they receive them directly. 3.1 Enfield Council defines a complaint 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 a resident or group of residents.” 3.2 A complaint will never prevent, delay, or impact the council’s responsibility to take prompt action to resolve any immediate issues raised by residents. Urgent or safety-related matters will continue to be addressed while the complaint is being investigated.
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	Enfield 500 is for residents to meet up with members of staff and supply their feedback through discussions and Topics about improving complaints handling. Which includes how to raise a complaint.	This has been shared with necessary services who we know are conducting surveys to ensure this is included, we also have plans to share this in our monthly newsletter to ensure staff are aware of the requirement and brought to Enfield 500 meetings.

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. Each complaint must be considered on its own merits	Yes	Corporate Policy 1.6.1 and 1.7	1.6.1 explains what will not be considered a complaint. 1.7 If we decide not to deal with a complaint under this policy, we will provide an explanation of that decision in writing and inform the resident of their right to refer it 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: - 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	Yes	Clause 1.6.2	1.6.2 Exclusions have been reviewed and updated to remove any unreasonable exclusions.

	Particulars of Claim, having been filed at court. • Matters that have previously been considered under the complaints policy.			
2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.	Yes	1.6.2 Complaints Corporate Policy	1.6.2 Complaints that are more than 12 months old: Any complaint known about by the complainant, that was not reported to us within 12 months, will not be accepted unless there are exceptional circumstances for the delay, such as illness or hospitalisation. Evidence may be required to verify the reason for the delay.
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	Clause 1.7 and 11.3	Complaints Policy 1.7 'If we decide not to deal with a complaint under this policy, we will provide an explanation of that decision in writing and inform the resident of their right to refer it to the relevant Ombudsman.' 11.3 In most cases, the relevant Ombudsman will normally only consider complaints if the complainant has exhausted the Council's complaints procedure. However, the relevant Ombudsman has discretion to investigate a complaint prior to the Council conducting its own

				investigation. For example, where the relevant Ombudsman deems the complainant to be vulnerable or the case raises an issue of general concern to the public.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Section 3 - What is a complaint'	Section 3 of the Complaints Policy details examples of what complaint themes are covered, and what areas are not. Each complaint is reviewed based on its own merit and proceeded accordingly.

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	5.1 and 5.2 Complaints Corporate Policy Section 2 - Corporate Complaints Policy	Whilst 5.1 and 5.2 is about access channels that we offer our customers. Section 2 is about in reference to equality and diversity. Also, all staff have mandatory training in DEI (Diversity Equality and Inclusion) which needs to be completed each year.
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	Section 5 – Corporate complaints policy	Details are listed here about how complaints can be received. All staff are regularly reminded and briefed about the complaints process and how to share complaint details with a centralised team to formally log.
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	We report on complaints to our monthly housing management board and quarterly to our cabinet member for Housing.	The council captures this data for regular performance monitoring as well as to provide on statutory returns.

	complaint volumes are potentially a sign that residents are unable to complain.		We also report on complaints weekly with all key contributors.	
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	Guidance on submitting complaints and complaints policy is available on the council's website. Please see links below. <u>Feedback and complaints Enfield Council</u>	We have first and final stage complaints process which are acknowledged at each level that includes time scales of complaints handling. The policy is published online see link. 13.3 The Corporate Council Complaints Policy will be made available as a webpage on the Council's website, enabling customers to use accessibility and language tools to adapt the content to their individual requirements. <u>Corporate complaints policy Enfield Council</u>
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	Clause 13.2 The Council will provide an annual report to the Housing Ombudsman in accordance with the complaint code, and will publish both the report and its Self-Assessment on the Council's website, together with this complaints policy and information regarding escalation procedures for residents. Guidance on submitting	<u>Corporate complaints policy Enfield Council</u> <u>Complaints Enfield Council</u>

			complaints is also communicated to Council Housing residents and leaseholders via E-News or Housing Newsletters. <u>Feedback and complaints Enfield Council</u> <u>Council Housing Newsletters</u>	
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	Section 6 - 6.2 and 6.4 Corporate Complaints Policy.	This also includes our handling of (MEQs) member enquiries which should be handled under the complaints process.
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	Section 11 Corporate Complaints Policy.	Escalation rights to the Housing Ombudsman are also included in the responses at both stages (first and final stage).

Section 4: Complaint Handling Staff

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
4.1	Landlords must have a person or team assigned to take responsibility for complaint handling, including liaison with the Ombudsman and ensuring complaints are reported to the governing body (or equivalent). This Code will refer to that person or team as the 'complaints officer'. This role may be in addition to other duties.	Yes	Currently Team is Housing Complaints and Resolution Team accessible.	All complaints are managed through Case Tracker. https://app.casetracker.uk Previously complaints were sent to the email address below HousingComplaints.Resolution@enfield.gov.uk Automatic replies are now sent to reflect this: 'This mailbox is no longer monitored. Emails sent to this address will not receive a response. All complaints and correspondence must be directed to Case Tracker.
4.2	The complaints officer must have access to staff at all levels to facilitate the prompt resolution of complaints. They must also have the authority and autonomy to act to resolve disputes promptly and fairly.	Yes	All Complaints handling staff are provided internal training and use the Housing Ombudsman Learning Hub, Webinars and spotlight reviews.	All staff dealing with complaint investigations are trained to follow the Ombudsman's Complaints Handling Code and other necessary statutory, regulatory or ombudsman guidance.
4.3	Landlords are expected to prioritise complaint handling and a culture of learning from	Yes	Central training on the Complaints process.	All staff dealing with complaint investigations are trained to follow the Ombudsman's Complaints Handling Code and other

	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		All staff have had training on the complaint process in the past 6 months. Training also held as a team discussion around complaints handling and ending with keeping discussions fresh and engaging with quizzes which assists with learning.	necessary statutory, regulatory or ombudsman guidance. • Housing Complaints and Resolution Team Mangers • Learning, Feedback & Insight Officers
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Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.	Yes	Enfield Corporate Complaints Policy	The Ombudsman Code informs the policy. There are notes on 12.6 to ensure we comply to the different Ombudsman Codes (LGSCO).
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	Yes	Section 7	Section 7 outlines the stages in the Complaints Procedure. 7.1 The council uses a two-stage complaints process.

	complaint') as this causes unnecessary confusion.			
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	Section 7	Section 7 outlines the stages in the Complaints Procedure. 7.1 The council uses a two-stage complaints process.
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	We have contractors who work with the council, and when a response is needed, we escalate matters to a senior member of the contractors to provide their input and provide one response to the resident.	Enfield work with any third parties to capture their response in the necessary time scales.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	We ensure that we follow the Complaints handling code when dealing with contractor complaints. This is reviewed weekly with Heads of Service who are responsible procuring third party contractors to ensure we are code compliant.	Enfield work with all third parties to capture their response in the necessary time scales. In instances of complex cases, we will ensure the resident is notified if there is a need to extend the deadlines, agreeing where necessary as per the Complaints Code.
5.6	When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the	Yes	Section 7	

	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.		7.2.1 explains this for stage 1 and 7.3.2 explains this for stage 2	
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	Clause 7.2.1 and 7.3.2	7.2.1 Stage 1 complaints are investigated and responded to by the service area in which the complaint originated. We will acknowledge your complaint within 5 working days of receipt, clarify the council's role, expected outcomes, and address any questions. 7.3.2 We aim to acknowledge your complaint within 5 working days of receipt, clarify the council's role, expected outcomes, and address any questions.
5.8	At each stage of the complaints process, complaint handlers must: a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully.	Yes	All staff dealing with complaints act independently with an open mind throughout complaint investigations. Staff at all levels of the processes are provided with sufficient time to ensure they can review relevant information and take the necessary measure to work alongside the resident. In addition, see 7.3.1- The	Housing Ombudsman Learning Hub. I-learn learning Site (all staff have access to). Complaints Team Manager Training with complaint investigators.

			complaint is investigated and responded to by a senior manager who has direct responsibility for the staff involved or the issue complained about. final stages are processed by complaints Team managers.	
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	7.3.3 Corporate Complaints Policy 'We will contact the complainant to let them know of the delay and advise when we are able to provide a response by. Time extensions are driven by the 12 April 2025 complexity of the complaint.	
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	Section 2 Corporate Complaints Policy.	Resident information is stored on our Housing Management system Civica CX, including vulnerabilities flags. If a vulnerability is noted through the complaints process, the investigating officer would ensure the system reflects the vulnerabilities, updating or adding to the Civica CX management system as needed.
5.11	Landlords must not refuse to escalate a complaint through all stages of the	Yes	7.3.1 Corporate Complaints Policy	The Housing Resolution and Complaints team escalate

	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.			complaints that are unable to be resolved at their initial stage as outlined in 7.3.1 and 7.3.5 and also would not refuse to escalate a complaint unless they had a valid reason to do so.
5.12	A full record must be kept of the complaint, and the outcomes at each stage. This must include the original complaint and the date received, all correspondence with the resident, correspondence with other parties, and any relevant supporting documentation such as reports or surveys.	Yes	All complaints are store and managed through Case Tracker.	We log and process all complaints handling through Case Tracker and when complaints arrived through various channels such as web, email and phone these are also included on Case Tracker.
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	Section 8 remedies outlined	We also provide compensation along with the other remedies listed in the complaints, policy. Attached is the current compensation policy.
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	Yes	Customer Service Commitment (CSC) Unacceptable Behaviours – Including Vexatious Policy	CSC sets out the standards that we provide with our customers and Vexatious Policy sets out the standards that we would not tolerate which may lead to communication restrictions.

	must keep restrictions under regular review.			
5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.	Yes	Customer Service Commitment Unacceptable Behaviours – Including Vexatious Policy	CSC sets out the standards that we provide with our customers and Vexatious Policy sets out the standards that we would not tolerate which may lead to communication restrictions.

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	The Housing Complaints and Resolution Team members assesses complaints early on, and officers are knowledgeable in using a 'high, medium, low risk' indicator on correspondence to navigate the complaint pathway. Additionally, vulnerability flags are applied to cases within various IT council housing systems.	Officers review cases when they come in on a case-by case basis. When there is a note of vulnerabilities, complexities, or additional needs these cases are highlighted to ensure these are prioritised.
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <u>within five working days of the complaint being received.</u>	Yes	7.2.1 of the landlord's complaints policy explains that it aims to acknowledge stage 1 complaints within 5 working days.	Stage 1 complaints are investigated and responded to by the service area in which the complaint originated. We will acknowledge your complaint within 5 working days of receipt, clarify the council's role, expected outcomes, and address any questions.
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working</u>	Yes	7.2.1 Corporate Complaints Policy	An officer from the complained about service will complete a full

	<u>days</u> of the complaint being acknowledged.			investigation before sending a final reply to the complainant within 10 working days of the complaint being acknowledged.
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	7.2.2 of the Complaints Policy explains that complex complaints may be extended for up to a further 10 working days.	7.2.2 If the investigating officer thinks that they need more time to carry out a full investigation, they should provide an explanation containing a clear timeframe of when the response will be received. Any extension must be no more than 10 working days without good reason. If matters cannot be resolved within the maximum timescale of 20 working days, we will contact the complainant to let them know of delay and advise when we are able to respond by.
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	Clause 7.2.2 and 7.3.3	Stage 1, 7.2.2 in the complaints policy. 'When a complaint deadline is extended the Council will ensure the relevant

				Ombudsman contact details are provided.' Stage 2, 7.3.3 Any extension must be no more than 20 working days, and the reason(s) must be clearly explained to the complainant, this should be agreed by both parties. The complainant will be provided with the relevant Ombudsman's contact details so they can challenge the councils plan for responding, and/or the proposed timeliness of the response.
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	Clause 7.1	7.1 The council uses a two-stage complaints process. Responses should be sent once an answer is available, even if actions are ongoing; these actions must be tracked and updated regularly for the complainant.

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		All staff dealing with complaint investigations are trained to follow the Ombudsman's Complaints Handling Code and other necessary statutory, regulatory or ombudsman guidance.
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	Complaints policy 7.2.6	7.2.6 Where a complainant raises additional complaints during the investigation these will be incorporated into the Stage 1 response, if they are relevant, and the Stage 1 response has not been issued. Where the Stage 1 response has been issued, or it would unreasonably delay the response, the additional complaint should be logged 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; 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;	Yes	Housing Complaints and Resolution Team Managers have trained staff in the use of plain English in classroom setting. Reference documents were sent to staff after the training session.	Team managers provide support in writing in plain English and complaint handling during quality checks. Guidance document created to help improve the way we communicate when responding to complaints and templates shared on

	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.			council's intranet. Also Document titled 'Guide to writing to Customers', sets out how to correspond with all residents.
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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	Escalation rights added at each stage.	Escalation rights are given at the end of a first stage response for a stage 2 and also Housing Ombudsman escalation rights are at the end of a final response.
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	Clause 7.3.2	7.3.2 We aim to acknowledge your complaint within 5 working days of receipt, clarify the council's role, expected outcomes, and address any questions.
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	Clause 7.3.1	7.3.1 Complainants are not required to state their reasons for requesting a stage 2 escalation.
6.13	The person considering the complaint at stage 2 must not be the same person	Yes	Complaints Policy 7.3.1	7.3.1 Stage 2 complaints are where the request to

	that considered the complaint at stage 1.			escalate has been requested. Stage 2 complaints are investigated and responded to by a different officer. Where appropriate a senior manager often with direct responsibility for the staff involved or the issue complained about.
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 Policy 7.3.2	7.3.2 The senior manager will complete a full investigation before sending a final reply to the resident within 20 working days of the complaint being acknowledged.
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	Complaints Policy 7.3.3	7.3.3 If the investigating officer thinks that they need more time to carry out a full investigation, they will contact the complainant to agree a reasonable extension of the timescale. Any extension must be no more than 20 working days, and the reason(s) must be clearly explained to the complainant, this should be agreed by both parties. The

				complainant will be provided with the relevant Ombudsman's contact details so they can challenge the councils plan for responding, and/or the proposed timeliness of the response.
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	Clause 7.2.2	Stage 1, 7.2.2 in the complaints policy. 'When a complaint deadline is extended the Council will ensure the relevant Ombudsman contact details are provided.'
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	Clause 7.1	7.1 The council uses a two-stage complaints process. Responses should be sent once an answer is available, even if actions are ongoing; these actions must be tracked and updated regularly for the complainant.
6.18	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions,	Yes		All staff dealing with complaint investigations are trained to follow the

	referencing the relevant policy, law and good practice where appropriate.			Ombudsman's Complaints Handling Code
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.	Yes	Team managers provide stage 2 responses and write in plain English and ensure that each response covers points from A-G in the list of code requirements for every complainant. The template is set out to include details to escalate to the Housing Ombudsman	Guidance document created to help improve the way we communicate when responding to complaints and templates shared on council's intranet. Also Document titled 'Guide to writing to Customers', sets out how to correspond with all residents.
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	We have only 2 stages in the complaints process and the final response is the last step.	We ensure that partial or complete responses come from knowledgeable key staff in the relevant service areas related to the issue.

Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or	Yes	8.2 and 8.3 Corporate Complaints Policy	

	intends to take, to put things right. These can include: • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; • Taking action if there has been delay; • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; • Providing a financial remedy; • Changing policies, procedures or practices.			
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	8.2 and 8.3 Corporate Complaints Policy	
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	8.2 and 8.3 Corporate Complaints Policy	
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes		All staff dealing with complaint investigations are trained to follow the Ombudsman's Complaints Handling Code and other necessary statutory, regulatory or ombudsman guidance.

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: a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.	Yes		a) Complaints report is created and captured by the service lead and necessary requirements shared with the regulator for the TSMs and any other statutory returns. b) we have recently upgraded our reporting systems to be able to deliver further qualitative and quantitative data sets - this will look at linking data with our tenant population to build on our learning b) Any Ombudsman determinations are shared with senior management and the necessary cabinet officer. c) A service improvement plan is captured each year based of knowledge of the service needs from complaints. d) The Ombudsman report is shared when published (last year this was

				September / October) e) As and when these are / will be provided.
8.2	The annual complaints performance and service improvement report must be reported to the landlord's governing body (or equivalent) and published on the on the section of its website relating to complaints. The governing body's response to the report must be published alongside this.	Yes	The annual report is published online with key data. The learning from complaints and improvement actions are also shared. The Council Housing service has a detailed work plan set out for the year (2025-26), which was created based of learning from the previous year's complaints.	The report will be shared with Cabinet officers at the necessary council interval and is accessible via the website.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes		Enfield will update upon any significant restructure or merger.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes		After a restructure of service the council is completing its annual self-assessment to ensure compliance and will continue to review at all key stages.
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		Noted

Section 9: Scrutiny & oversight: continuous learning and improvement

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
9.1	Landlords must look beyond the circumstances of the individual complaint and consider whether service improvements can be made as a result of any learning from the complaint.	Yes	Reviewed weekly in our Service Directors meeting and lessons learnt are taken to the housing management board	Lessons learnt are captured after each complaint. When complaints arise issues regarding learning are also captured in the moment wherever possible.
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	Reviewed weekly in our Service Directors meeting and lessons learnt are taken to the housing management board	Lessons learnt are captured after each complaint. When complaints arise issues regarding learning are also captured in the moment wherever possible. Feeding into performance reviews etc.
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	Lessons Learned Tracker updated monthly and reviewed at the weekly Service Directors meeting and lessons learnt are taken to the housing management board	Reports contained as much information as possible. This year there will be more feedback from lessons learnt, staff and service areas as they have been logged.
9.4	Landlords must appoint a suitably senior lead person as accountable for their complaint handling. This person must assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.	Yes		Head of Service Improvement and Performance leads the complaints team in association the Complaints Managers.

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		Two Cabinet Members, one who leads on Complaints & one who leads on Housing.
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		Updates are given to the necessary Cabinet members and performance data shared regularly or as and when needed.
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and d. annual complaints performance and service improvement report.	Yes	Monthly KPI data helps track performance related to complaints. Ombudsman findings are shared as necessary alongside annual performance reporting for complaints and Ombudsman cases.	Regular performance reporting is shared with the Members as and when necessary.

9.8	Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to: a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments; b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and c. act within the professional standards for engaging with complaints as set by any relevant professional body.	Yes		Our standard objective is to respond to complaints in a timely manner within the timescales outlined in the Housing Ombudsman Code. We take a collaborative and co-operative approach with a Business Change Manager who leads the complaints team, in association with the Service Development & Improvement Lead and team. Any shortfalls can be identified through learning which is capture in lesson learnt. Our Service Development & Improvement team are continuously looking for ways to improve the complaints process. We work within the professional standards for engaging with complaints as outlined within the Housing Ombudsman code.
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