

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	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk) Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy . Facebook Page . Twitter Page . Campaigns on how to raise a complaint are regularly added to our Rykneld Homes' social media Pages and website.	<p>Rykneld Homes Limited (RHL) is North East Derbyshire District Council's (NEDDC) housing management company and is wholly controlled by the Council. We have adopted the Housing Ombudsman definition of a complaint, and this is at the forefront of our Complaints Policy. The policy is managed by RHL on the Councils behalf.</p> <p>There are regular media and website campaigns carried out by RHL to ensure our customers are aware of the variety of contact methods they can use to raise an issue with us.</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	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk) Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy . Facebook Page . Twitter Page .	<p>NEDDC and RHL, on behalf of the Council, has adopted the HOS definition of a complaint which does not require the word complaint to be used. As per the HOS best practice requirements set out in 1.4, NEDDC and RHL recognises the difference between a service request, where a resident may be unhappy with a situation that they wish to have rectified, and a complaint</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			Campaigns on how to raise a complaint are regularly added to RHL social media pages and website.	about the service they have/have not received. We accept complaints made by advocates who are authorised to act on the complainants' behalf, and these will also be actioned in line with the Complaints Policy.
1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be recorded, monitored and reviewed regularly.	Yes	<p>Below are links to:</p> <p>Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk)</p> <p>Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy.</p> <p>Facebook Page.</p> <p>Twitter Page.</p> <p>Campaigns on how to raise a complaint are regularly added to our social media pages and website.</p>	Service requests or situations as described by the Housing Ombudsman in 1.4 are either resolved at customer contact or are investigated and responded to by the relevant Service Manager at RHL. Both Service Requests and Complaints are monitored and reviewed regularly to ensure these have been satisfactorily resolved.
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	Yes	<p>Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk)</p> <p>Compliments, Comments or Complaints Section of the RHL Website. Here you</p>	A complaint can be raised whilst a service request is ongoing and will not be rejected or delayed for this reason.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	service request if the resident complains.		<p>will also find a copy of our Complaints Policy.</p> <p>Facebook Page.</p> <p>Twitter Page.</p> <p>Campaigns on how to raise a complaint are regularly added to our social media pages and website.</p>	<p>A Service Request is handled within the appropriate team. All customer contact is logged and monitored and is only closed therefore once resolved.</p> <p>If the customer raises a complaint, this is formally recorded at Stage 1 and an acknowledgement letter sent to the customer confirming this.</p> <p>Complaints are managed by a Complaints Team at RHL consisting of a Complaints & Disrepair Manager and a Complaints & Disrepair Officer.</p>
1.6	An expression of dissatisfaction with services made through a survey is not defined as a complaint, though wherever possible, the person completing the survey should be made aware of how they can pursue a complaint if they wish to. Where landlords ask for wider feedback about their services, they also must provide details of how residents can complain.	Yes		If a customer responds to a survey to notify dissatisfaction they will be contacted and signposted to the complaints process.

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	Yes	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk)	All complaints are accepted and investigated with exception

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	complaint they must be able to evidence their reasoning. Each complaint must be considered on its own merits		Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy .	of clear exclusions stated in the Complaints Policy. The circumstance of each individual complaint is considered, a blanket approach isn't enforced, and discretion may be used for some of the exclusions.
2.2	<p>A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> • The issue giving rise to the complaint occurred over twelve months ago. • Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. • Matters that have previously been considered under the complaints policy. 	Yes	<p>Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk)</p> <p>Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy.</p>	<p>Clear exclusions are listed within the Complaints Policy which are as follows:</p> <ul style="list-style-type: none"> • An initial request for service • Where the issue took place more than 12 months ago • Anti-social behaviour unless the complaint refers to our failure to deal with the matter appropriately • 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 • Dissatisfaction with the fairness of our Policies where our Policies have been correctly applied • Claims for compensation relating to personal injury – the complainant is advised to seek independent legal advice e.g. Derbyshire Law

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				<p>Centre or Citizens Advice. If a claim is received from a Solicitor on behalf of the complainant, we will refer this to our Insurer's for consideration</p> <ul style="list-style-type: none"> Attempts to reopen or reconsider complaints that have already 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	<p>Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk)</p> <p>Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy.</p>	Complaints are accepted within 12 months of the issue occurring; however, discretion is also applied when a complaint is received outside of the standard timescales and will be recorded and responded to where it is appropriate to do so and/or should the HOS request that we do so.
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	Example letters can be provided if required, however, these are individual to the customer and the circumstances of the complaint and hold personal data if not redacted.	If a complaint is not accepted, contact will be made with the customer to explain the reason for the decision, and this will be followed up in writing.
2.5	Landlords must not take a blanket approach to excluding complaints; they	Yes		Each case is considered in its own merit, taking into

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	must consider the individual circumstances of each complaint.			consideration the customers circumstances, household composition, any vulnerabilities, and the nature of the complaint.

Section 3: Accessibility and Awareness

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
3.1	Landlords must make it easy for residents to complain by providing different channels through which they can make a complaint. Landlords must consider their duties under the Equality Act 2010 and anticipate the needs and reasonable adjustments of residents who may need to access the complaints process.	Yes	<p>Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk)</p> <p>Compliments, Comments or Complaints Section of the RHL Website.</p> <p>Email address: Contactus@rykneldhomes.org.uk</p> <p>Facebook Page.</p> <p>Twitter Page.</p>	<p>Customers can make a complaint via the following mediums:</p> <ul style="list-style-type: none"> • Web form • ContactUs • Letter • Complaints leaflet completion • Telephone • Via staff member • Email • Twitter • Facebook • Complaints received on social media will be responded to in writing to maintain confidentiality where a name and address is provided. This is contained within current Policy • Complaints are also accepted when made by advocates who are authorised to act on the complainant's behalf.
3.2	Residents must be able to raise their complaints in any way and with any member of staff. All staff must be aware of the complaints process and be able to pass details of the complaint to the appropriate person within the landlord.	Yes	<p>Complaints training has been undertaken for all RHL staff via Skillgate.</p> <p>At 25.04.24, 230 staff have completed the Effective Complaint Handling e-course run by Skillgate. The Council through RHL are 100% compliant.</p>	<p>Training has been provided to staff at all levels and in all areas of the Business to ensure customer complaints are recognised and responded to proactively. All complaints are passed to the Complaints & Disrepair Manager for investigation and our staff are aware that this is the correct procedure.</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				The Complaints Team are easily accessible and are known to members of staff throughout the organisation. They also have various methods of contact including an internal email address: complaints@rykneldhomes.org.uk
3.3	High volumes of complaints must not be seen as a negative, as they can be indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.	Yes	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk) Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy . Facebook Page . Twitter Page . Campaigns on how to raise a complaint are regularly added to RHL's social media pages and website.	Complaints are not viewed negatively, instead these are seen as an opportunity to improve the services to our customers. This can be an individual circumstance or by prompting changes in procedure or Policy to benefit all customers.
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	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk) Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy . Facebook Page .	The Policy offers help to submit a complaint. The leaflet also contains a customer service accessibility message in different languages. NEDDC and RHL have an easily accessible website. The Complaints process is the first item on the RHL's ContactUs tab on the front of the website and clearly outlines the

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			Twitter Page. Campaigns on how to raise a complaint are regularly added to our social media pages and website.	number of stages, procedure and timescales. Here customers can also access the Complaints Policy and RHL's Customer Annual Report which details the number of complaints received. RHL Communications Strategy sets out how they will communicate their story and ensure the customer voice continues to be heard in the development of NEDCC/RHL Business.
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	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk) Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy . Facebook Page. Twitter Page. Campaigns on how to raise a complaint are regularly added to our social media pages and website. Link to 'Your Rykneld' on the website.	The Complaints Policy and procedure is publicised via the following mediums: <ul style="list-style-type: none"> • Website • Leaflets • Customer Newsletter • Social media campaigns.
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their	Yes	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk)	RHL on behalf of NEDDC will accept complaints and actively communicate with any advocates

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	behalf, and to be represented or accompanied at any meeting with the landlord.		Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy .	who are authorised to act on the complainants' behalf or represent them throughout the process. This is clearly stated in the Complaints Policy: <i>'We will accept complaints made by advocates who are authorised to act on the complainants' behalf'</i>
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	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk) Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy . Facebook Page . Twitter Page . Campaigns on how to raise a complaint are regularly added to our social media pages and website. 'Your Rykneld' on the website. The standard text on a Stage 2 Complaint Letter is as follows: <i>"This response therefore concludes my investigation, and I must advise you that your complaint has exhausted the Rykneld Homes Complaints Policy which</i>	Contact information for the Ombudsman is publicised via the following mediums: <ul style="list-style-type: none"> • Website (NEDDC/RHL) • Leaflets (RHL) • Letters issued throughout the complaints process (RHL) • Customer Newsletter (RHL) • Social media campaigns (RHL)

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			<p>is a 2-stage procedure. If you remain dissatisfied, you can pursue your complaint further by contacting the Housing Ombudsman Service for further advice. They can be contacted at:</p> <p>The Housing Ombudsman Service PO Box 152 Liverpool L33 7WQ</p> <p>Tel: 0300 111 3000 Email: info@housing-ombudsman.org.uk</p>	

Section 4: Complaint Handling Staff

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
4.1	Landlords must have a person or team assigned to take responsibility for complaint handling, including liaison with the Ombudsman and ensuring complaints are reported to the governing body (or equivalent). This Code will refer to that person or team as the 'complaints officer'. This role may be in addition to other duties.	Yes	<p>The staff structure for Complaints can be found at Appendix 1.</p> <p>The Job description for the Complaints and Disrepair Manager can be found at Appendix 2.</p> <p>The Job description for the Complaints and Disrepair Officer can be found at Appendix 3.</p>	<p>RHL on behalf of NEDDC has dedicated officers who handle complaints. The Complaints & Disrepair Team consists of a Complaints & Disrepair Manager and a Complaints & Disrepair Officer.</p> <p>The Team is managed by the Head of Corporate Services who is a member of the Senior Management Team.</p> <p>Performance information on the TSM, complaints performance and learning and annual reports is provided to the Board of RHL,</p>

				<p>Customer Board and to North East Derbyshire District Council. Quarterly Performance Indicators are reported to NEDDC.</p> <p>The Council's Housing Intelligence and Assurance Officer works closely with RHL's Complaints Manager regarding performance and service improvements. The Council's annual Complaints Performance and Service Improvement report will be drafted by NEDDC and reported to NEDDC governing body "Cabinet" and NEDDC's appointed MRC. The MRC will get regular updates.</p>
4.2	<p>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.</p>	Yes	<p>The staff structure for Complaints can be found at Appendix 1.</p> <p>The Job description for the Complaints and Disrepair Manager can be found at Appendix 2.</p> <p>The Job description for the Complaints and Disrepair Officer can be found at Appendix 3.</p>	<p>The Complaints Manager and Complaints Officer have received appropriate training and have the experience and skills to handle complaints sensitively, fairly, and efficiently.</p> <p>HOS online training and guidance is used/referred to.</p> <p>At Stage 2, complaints are independently reviewed by a Head of Service (different from the Service area originating to complaint) and resolved in consultation with a director.</p>
4.3	<p>Landlords are expected to prioritise complaint handling and a culture of learning from complaints. All relevant</p>	Yes	<p>Complaints training has been undertaken for all staff via Skillgate.</p>	<p>The Complaints Team review the commonalities and trends within complaints to consider</p>

	<p>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</p>		<p>At 25.04.24, 230 staff have completed the Effective Complaint Handling e-course run by Skillgate. RHL are 100% compliant.</p>	<p>improvements that can be made to policy, procedures and the services we provide to our customers. Learning outcomes are discussed in monthly 'Service Improvement' meetings with service managers and any required changes are tracked through to their conclusion.</p> <p>Learning outcomes are shared with wider staff in order to establish best practice and a 'get it right first time' approach, including the use of Complaint Journey Maps for individual cases which are then distributed to staff to promote further learning from complaints.</p> <p>The Complaints Team also maintain a 'Promises' Tracker which monitors the promises made within individual complaints to ensure they are completed and within the stated timescales.</p> <p>Policies and procedures will be changed in consultation with staff, and NEDDC's Housing Policy and Assurance Officer, where necessary, to improve service delivery.</p> <p>The Complaints & Disrepair Manager reports on statistical data and learning from complaints</p>
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				<p>to RHL Customer Board and consults with them to identify how the service can be improved.</p> <p>HOS online training and guidance is used/referred to.</p>
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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	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk) Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy .	There is a single Policy in place, managed by RHL for all NEDDC customers. Customers are not treated differently if they complain, and any service requests are actioned/continued whilst a complaint is in progress.
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	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk) Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy .	Complaints Policy confirms Stage 1 complaints 10 days and Stage 2 complaints 20 days. There are no other stages.
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	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk) Compliments, Comments or Complaints Section of the RHL Website. Here you	We have a 2-Stage Complaints Procedure which is compliant with the Code.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			will also find a copy of our Complaints Policy .	
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	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk) Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy .	All complaints are investigated and responded to in-house by RHL's Complaints Team. If a third party is involved in the complaint, they work with them to provide resolution to the customer. It would be RHL, however, that would respond formally and write to the customer with an outcome in line with the Complaints Policy.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes		Contractors are conducting works on our behalf and, therefore, RHL are responsible for any complaints as a result of those works. All complaints are investigated and responded to in-house by our Complaints Team. If a third party is involved in the complaint, we work with them to provide resolution to the customer. It would be RHL, however, that would respond formally and write to the customer with an outcome using RHL Complaints Policy.
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,	Yes	Example letters can be provided if required, however, these are individual to the customer and the circumstances of the complaint and hold personal data if not redacted.	Customers are contacted by RHL on the receipt of a complaint so they can establish a full understanding of their complaint and the resolution they are seeking.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	the resident must be asked for clarification.			The acknowledgement letter, which is sent to the customer at both Stage 1 and 2, sets out RHL's understanding of their complaint, as do the final formal response letters.
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	Example letters can be provided if required, however, these are individual to the customer and the circumstances of the complaint and hold personal data if not redacted.	Customers are notified both verbally and in writing by RHL to make clear which aspects of the complaint they are, and are not, responsible for, why and if relevant who is. See the note at 5.5 regarding third party Contractor works.
5.8	At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully. 	Yes		<p>Each complaint is investigated thoroughly and independently in a confidential manner without bias, taking into account all the information and evidence before a decision is made.</p> <p>RHL's Complaints Team have the experience and skills required to handle complaints sensitively, fairly, efficiently and independently without conflict of interest and will have autonomy to resolve complaints at Stage 1.</p> <p>A positive working relationship is in place between the Complaints Team, staff and partner agencies in order to ensure a quick resolution to complaints.</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				<p>Customers or staff members will be consulted throughout the complaints process and will be given the opportunity to raise any points that they feel valid for consideration prior to a final decision.</p> <p>They also have the authority and ability to access any information required to fully investigate and respond accurately to complaints at Stage 1.</p> <p>At Stage 2, complaints are reviewed by RHL's Head of Service (different from the Service area originating to complaint) and resolved in consultation with a director.</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	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk) Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy .	RHL endeavours to respond to complaints in the prescribed timescales within the Code and these are monitored, and performance information recorded. If an extension is required this is in full consultation with the customer, with an explanation and this should not exceed an additional 10 days if agreed. RHL on behalf of NEDDC operate within the HOS Complaint Handling Code.
5.10	Landlords must make reasonable adjustments for residents where	Yes	A copy of the EIA can be found at Appendix 4 .	An EIA is completed by RHL with all customers at Stage 1 of the

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.		Supporting Vulnerable People Policy. Equality, Diversity and Inclusion Policy.	<p>complaints process. This is also used throughout the Business to support customers, for example, where large scale capital works are being conducted.</p> <p>RHL's Delivering Services to Vulnerable People Policy confirms that if someone's ability to access, use and receive housing services provided RHL is impacted by their personal circumstances, RHL will make reasonable and proportionate adjustments to accommodate individual need.</p> <p>RHL's Equality, Diversity and Inclusion Policy sets out RHL's approach to embedding/ensuring Equality, Diversity and Inclusion (EDI) in the services they deliver on behalf of NEDDC and the way they conduct business and act as an employer.</p>
5.11	Landlords must not refuse to escalate a complaint through all stages of the complaints procedure unless it has valid reasons to do so. Landlords must clearly set out these reasons, and they must comply with the provisions set out in section 2 of this Code.	Yes	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk) Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy .	The list of exclusions is outlined in the Complaints Policy and extends to the reasons why RHL would refuse to escalate a complaint. The reasons for refusal will be discussed with the customer verbally and then followed up in writing.
5.12	A full record must be kept of the complaint, and the outcomes at each stage. This must include the original	Yes		<p>A full record of each complaint is retained by RHL which includes:</p> <ul style="list-style-type: none"> • The dates of any actions taken

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	complaint and the date received, all correspondence with the resident, correspondence with other parties, and any relevant supporting documentation such as reports or surveys.			<ul style="list-style-type: none"> • All written and verbal correspondence with the customer/other involved parties • Any reports or surveys undertaken • The outcomes at each stage • Any learning outcomes.
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		RHL Complaints Team has the autonomy to make decisions and provide solutions and remedies at any stage of the Complaints Process on behalf of NEDDC.
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	Customer Care Policy.	The procedure for managing unacceptable behaviour is outlined in RHL's Customer Care Policy.
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	Supporting Vulnerable People Policy. Equality, Diversity and Inclusion Policy.	The procedure for managing unacceptable behaviour is outlined in RHL's Customer Care Policy.

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	A copy of the EIA can be found at Appendix 4 . Supporting Vulnerable People Policy .	An EIA is completed by RHL at the initial visit conducted for all Stage 1 Complaints so that full consideration is given to any protected characteristics or vulnerabilities the customer may have which is relative to how the complaint should be handled. RHL aim to investigate and resolve complaints in a swift and pro-active manner with a view to providing an acceptable resolution for the customer and all involved parties.
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	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk) Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy .	All complaints are acknowledged, defined and logged at Stage 1 of the complaints procedure within five working days of being received with confirmation to the customer in writing.
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk) Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy .	RHL aim to respond to, investigate and resolve any complaints within the 10 day time frame. If, in exceptional cases, further time is required to complete their investigation, the customer will be notified verbally with a follow up in writing explaining the reasons for this.
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the	Yes	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk)	If an extension to the standard timescale is required RHL will discussed this with the customer

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.		Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy .	verbally and then followed up in writing with an explanation of why this is the case. Contact is maintained with the customer, however, until this has been fully resolved to update them at each stage.
6.5	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes	<p>The standard text on all holding letters is as follows:</p> <p><i>"You may wish to contact the Housing Ombudsman Service for further advice. They can be contacted at:</i></p> <p>The Housing Ombudsman Service PO Box 152 Liverpool L33 7WQ</p> <p><i>Tel: 0300 111 3000</i> <i>Email: info@housing-ombudsman.org.uk"</i></p>	Letters sent to the complainant throughout the complaints process confirm that we comply with the HOS Complaint Handling Code and provide a link to the HOS website. Customers are also advised verbally about the Complaints Procedure, the stages and the Ombudsman by RHL's Complaints Team at first contact to discuss their Complaint.
6.6	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes		<p>RHL will provide a verbal response to the customer and followed up in writing once their investigation is complete, confirming any outstanding actions to be taken along with the expected timescales.</p> <p>RHL's Complaints Team also maintain a 'Promises' Tracker which monitors the promises made within individual complaints to ensure they are completed and within the stated timescales.</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				The customer will be contacted and consulted throughout this process until a conclusion is reached.
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	Example letters can be provided if required, however, these are individual to the customer and the circumstances of the complaint and hold personal data if not redacted.	Each point will be addressed individually with the customer both in a verbal context and in the Stage 1 conclusion letter with a clear and concise response, confirming any decisions or actions to be undertaken and with reference to any relevant Policy, law and good practice procedures. <i>Redacted examples of communication outcomes can be provided if required.</i>
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		Any additional complaints raised by the customer whilst investigations at Stage 1 are being completed will be recorded and responded to as part of the Stage 1 response. If the Stage 1 response has already been issued or if this would delay the response within the specified timescales, then this will be logged as a new complaint and investigated separately.
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language:	Yes		Each Stage 1 conclusion letter, clearly outlines:

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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 stage 2 if the individual is not satisfied with the response.			<ul style="list-style-type: none"> the Stage of the complaint the decisions made regarding the complaint the reason why these decisions have been made confirmation of any remedy offered to put things right confirmation of any outstanding actions and the expected timescales Details of how to escalate their complaint to Stage 2 should they not be satisfied with our response Contact details for the Ombudsman. <p><i>Redacted examples of communication outcomes can be provided if required.</i></p>

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	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk) Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy .	A complaint will be escalated to Stage 2 at the customer's request, unless it is refused in line with the list of exclusions outlined in the Complaints Policy. The reasons for refusal will be discussed with the customer verbally and then followed up in writing.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk) Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy .	The Complaints Policy advises complainants to raise an escalation to Stage 2 within 20 days of receiving their Stage 1 response. Once received these are defined and logged at Stage 2 of the complaints procedure within five working days of the escalation request being received with confirmation to the customer in writing.
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		The reasons for the escalation request and the understanding of this is contained within the acknowledgement letter. If the reason for escalation is unclear the customer will be contacted to discuss this.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk) Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy .	Stage 2 complaints are reviewed by a RHL impartial Head of Service (different from the Service area originating to complaint) and resolved in consultation with a director.
6.14	Landlords must issue a final response to the stage 2 within 20 working days of the complaint being acknowledged.	Yes	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk) Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy .	RHL on behalf of the NEDDCaim to respond to, investigate and resolve any complaints within the 20-day time frame. If, in exceptional cases, further time is required to complete the investigation, the customer will be notified verbally with a follow up in

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				writing explaining the reasons for this.
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	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk) Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy .	<p>If, in exceptional cases, further time is required to complete the investigation, the customer will be contacted to discuss this with a follow up in writing confirming the reasons for the extension.</p> <p>Contact is maintained with the customer until this has been fully resolved to update them at each stage.</p>
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	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk) Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy .	Letters sent to the complainant by RHL throughout the complaints process confirm that we comply with the HOS Complaint Handling Code and provide a link to the HOS website.
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		<p>A verbal response will be provided to the customer by RHL and followed up in writing once our investigation is complete, confirming any outstanding actions to be taken along with the expected timescales.</p> <p>RHL's Complaints Team also maintain a 'Promises' Tracker which monitors the promises made within individual complaints to ensure they are completed and within the stated timescales.</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Example letters can be provided if required, however, these are individual to the customer and the circumstances of the complaint and hold personal data if not redacted.	Each point will be addressed individually with the customer both in a verbal context and in the Stage 2 conclusion letter with a clear and concise response, confirming any decisions or actions to be undertaken and with reference to any relevant Policy, law and good practice procedures.
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: <ul style="list-style-type: none"> a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied. 	Yes	Example letters can be provided if required, however, these are individual to the customer and the circumstances of the complaint and hold personal data if not redacted.	Each Stage 2 conclusion letter clearly outlines: <ul style="list-style-type: none"> • the Stage of the complaint • the definition of a complaint as set by the HOS • the reasons the customer has stated for escalation • if the original decision has been upheld and if so, why • if the original decision is not upheld why this is the case • confirmation of any remedy offered therefore to put things right • confirmation of any additional outstanding actions and the expected timescales • Details of how to escalate their complaint to the Ombudsman should they remain dissatisfied.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk) Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy .	Stage 2 complaints are reviewed by a RHL impartial Head of Service (different from the Service area originating to complaint) and resolved in consultation with a director and, therefore, consultation will be undertaken with the appropriate RHL teams as part of this process, including any learning outcomes or policy/ procedural changes required as a result.

Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; • Taking action if there has been delay; • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; 	Yes	Example letters can be provided if required, however, these are individual to the customer and the circumstances of the complaint and hold personal data if not redacted.	Where, after investigation, a complaint is upheld, either in part or in full, RHL will respond to the customer verbally and acknowledge where we have gone wrong, apologise, explain what actions we have already taken and any further proposed resolutions. RHL will then follow this up in writing in an attempt to seek to restore the customer to the position he/she enjoyed before the complaint was made including compensation or the provision of replacement items, where appropriate.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	<ul style="list-style-type: none"> 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	A copy of our Compensation and Claims Policy can be provided on request.	<p>Proposed remedies will be reasonable, consider the detrimental impact on the customer, be fair and proportionate, without detriment to other residents/customers. These may include:</p> <ul style="list-style-type: none"> Apology Provide requested service Review working procedure Review Policy Staff training or guidance Staff disciplinary action Financial redress – compensation or refund Replacement or repair of items i.e. due to damage.
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	Example letters can be provided if required, however, these are individual to the customer and the circumstances of the complaint and hold personal data if not redacted.	Any identified remedies will be discussed with the customer verbally, agreed with them and then confirmed in writing by RHL. The letter will confirm what actions have been agreed and the expected timescales for completion.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	A copy of our Compensation and Claims Policy can be provided on request.	<p>Any decision made regarding appropriate remedies is done so taking into account:</p> <ul style="list-style-type: none"> the customers' request

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				<ul style="list-style-type: none"> • the internal Compensation and Claims Policy • the guidance issued by the Ombudsman • what is both reasonable and proportionate in resolution of the Complaint.

Section 8: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ol style="list-style-type: none"> the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. 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; any findings of non-compliance with this Code by the Ombudsman; the service improvements made as a result of the learning from complaints; any annual report about the landlord's performance from the Ombudsman; and any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. 	Yes	<p>NEDDC's annual report can be found in the link below and will be avail August 2025.</p> <p>Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk)</p> <p>RHL Self-assessment for 2024/25 is on our website: complaint-handling-code-self-assessment-2024-25-feb25.pdf</p> <p>The Annual Customer Report is due to be publicised in September 2025.</p>	<p>RHL's quarterly performance reporting, including the TSM for complaints, is reported to the Senior Management Team (SMT), North East Derbyshire District Council (NEDDC), the Board and Customer Board. The Risk Register is updated quarterly.</p> <p>RHL's performance is publicised in the Annual Customer Report and NEDDC's annual report.</p> <p>NEDDC will produce a self assessment in our own right but also RHL on behalf of NEDDC will produce an annual self-assessment both will be publicised annually.</p> <p>The Customer Scrutiny Panel is undertaking a scrutiny exercise on Complaints Handling during their 2024/2025 plan. With the results being fed back to the SMT, Stakeholders, Operational Board and the Board.</p> <p>An annual performance report is provided to the SMT, Board and Customer Board that includes the findings of the HOS, including learning points. This is also</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				shared with NEDDC to ensure compliance. Training and learning is also provided as a result of any HOS determinations.
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	Council Tenants / Rykneld Homes - North East Derbyshire District Council (ne-derbyshire.gov.uk) Compliments, Comments or Complaints Section of the RHL Website. Here you will also find a copy of our Complaints Policy .	<p>Information on the number of complaints received and performance and learning outcomes, where relevant, are published as part of the Annual Reports to customers, members of staff, Board, Operational Board and Partnership Forum with NEDDC.</p> <p>RHL's annual complaints performance and service improvement report is published on the website, inclusive of the governing body's response to the report for 2024/25 which was presented to Cabinet on 31 July 2025.</p> <p>NEDDC's annual Complaints Performance and Service Improvement report will be drafted by NEDDC and reported to NEDDC governing body "Cabinet" and NEDDC's appointed MRC on 31 July 2025</p> <p>See 8.1.</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes		In the event of any significant restructure or change of procedure, a re-assessment against the Code and its requirements would be completed.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes		We would review and update the self-assessment should the Ombudsman ask us to do so at any Stage.
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		If RHL, on behalf of the NEDDC, are unable to comply with the Code due to exceptional circumstances, RHL/NEDDC will inform the Ombudsman, provide information to residents who may be affected, and publish this on RHL's website. They would also provide a timescale for returning to compliance with the Code.

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	Board information on our website.	All learning from complaints is recorded and reported on. Performance and learning outcomes, where relevant, are published as part of the Annual Report to customers, members of staff, Board, Customer Board and Partnership Forum with NEDDC.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
9.2	A positive complaint handling culture is integral to the effectiveness with which landlords resolve disputes. Landlords must use complaints as a source of intelligence to identify issues and introduce positive changes in service delivery.	Yes	<p>The Annual Customer Report demonstrates learning from complaints.</p> <p>The report for 2024-2025 will be publicised in August 2025.</p>	<p>RHL's Complaints Team review the commonalities and trends within complaints to consider improvements that can be made to policy, procedures and the services they provide to our customers. Learning outcomes are discussed in monthly 'Service Improvement' meetings with service managers and any required changes are tracked through to their conclusion.</p> <p>Learning outcomes are shared with RHL's wider staff in order to establish best practice and a 'get it right first time' approach, including the use of Complaint Journey Maps for individual cases which are then distributed to staff to promote further learning from complaints.</p> <p>RHL's Complaints & Disrepair Manager reports on statistical data and learning from complaints to Customer Board and consults with them to identify how the service can be improved.</p>
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	Yes	See evidence in 9.2.	RHL's Annual Report is approved by Board, Customer Board, Partnership Forum with NEDDC, following self-assessment against Code on the website.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	stakeholders, such as residents' panels, staff and relevant committees.			<p>NEDDC's annual report is approved by Cabinet and published on the Council's website</p> <p>The report details the number of complaints received, performance and learning outcomes where relevant. This information is also published in RHL's Customer Newsletter.</p> <p>The Self-Assessment will be reported to the NEDDC/RHL Partnership Forum which includes the Member with Portfolio for Housing.</p> <p>RHL's Complaints & Disrepair Manager reports on statistical data and learning from complaints to Customer Board and consults with them to identify how the service can be improved.</p>
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	<p>The staff structure for Complaints can be found at Appendix 1.</p> <p>The Job description for the Complaints and Disrepair Manager can be found at Appendix 2.</p> <p>The Job description for the Complaints and Disrepair Officer can be found at Appendix 3.</p>	<p>Complaints reporting and analysis is considered by RHL's Head of Corporate Services and reported through the SMT and NEDDDC's Partnership Forum.</p> <p>All staff mandatory complaints training – includes lessons and changes made to Policy as a result.</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Cabinet Information for NEDDC Board information on RHL's website. The MRC is publicised on RHL's website within the staff structure for Complaints and can be found at Appendix 1 .	NEDDC has appointed a MRC who is also the Leader of the Council and is part of Cabinet governance. RHL have also appointed a Member Responsible for Complaints ('the MRC').
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.			The Council's MRC has direct access to all staff at NEDDC and RHL, including RHL's Company Secretary, Managing Director, Head of Corporate Services and the Complaints & Disrepair Manager.
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: <ol style="list-style-type: none"> regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; regular reviews of issues and trends arising from complaint handling; regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and annual complaints performance and service improvement report. 			Quarterly Performance Reporting is provided to SMT, Sub-Board, Board and Customer Board and NEDDC, including KPI's. Also, an annual report on Complaints and learning outcomes. Any HOS investigations or findings are reported at RHL's Sub-Board and Board Level and also reported to NEDDC. Trends are monitored and reported upon.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	<p>RHL's Business Plan contains the following:</p> <p>Mission Putting our customers at the heart of everything we do.</p> <p>Values</p> <ul style="list-style-type: none"> • Transparency Be honest, open, and accountable • Teamwork Work as a team and embrace collaboration • Equality Treat everyone fairly and with respect • Responsiveness Provide timely service, advice and support • Inclusivity Support customer engagement and influence • Innovation Embrace change and innovation. <p>Our business and culture</p> <p>Priorities</p> <ul style="list-style-type: none"> • Provide development and training opportunities for all employees, including upskilling through professional qualifications and support through succession planning • Support our workforce with innovative people policies and health initiatives. 	<p>RHL operates a positive complaints culture with accountability across all staff and departments throughout the organisation without the adoption of a 'blame' culture.</p> <p>The Complaints Team and SMT have a collaborative and co-operative approach in place towards resolving complaints, working with colleagues across teams and departments.</p> <p>All complaints are handled in consideration of the professional standards and what is expected of us at Governance level.</p>

Complaints Structure Chart



Rykneld Homes Ltd

Job Description

Service:	Corporate Services
Post:	Complaints & Disrepair Manager
Post Number:	RH
Responsible To:	Director of Corporate Resources
Subordinates:	Complaints & Disrepair Officer

Job Brief - Complaints and Disrepair Claims

Rykneld Homes aims to provide a good service for all customers but realise there will be times when things go wrong. When this happens, our first response will always be to try and put it right as quickly as we can. If a customer remains unhappy, or if your issue requires a full investigation, it will be registered formally. This role will lead on the complaints and disrepair process. Ensuring that all complaints and disrepair claims are reviewed efficiently and effectively, to take ownership of the process, responding in line with legislative and regulatory timescales and ensuring any rectification reaches a successful conclusion and consistent practices are applied.

This person will work across all service areas to resolve complaints.

The role will have the authority using these criteria to determine and resolve complaints at stage one. You will work with Service Managers to ensure successful and quick resolutions are delivered in agreement with the customer where service standards have not been met. This will require liaison with the customer, monitoring of resolution/rectification and review once completed.

Disrepair Claims follow a legal route and are defended by solicitors working on behalf of Rykneld Homes. Your role will require liaison with the Company Solicitors to defend or settle claims through investigation of staff and the repairs system to provide evidence.

Your role will require you to be well organised and able to provide well presented evidence suitable for submission to court.

The postholder will be expected to review key data including service area, nature of complaint etc to collate statistical information where relevant for reporting purposes and to lead on suggestions for business process improvements which can be made as a way to minimise the risk of future complaints.

Complaints

- Thoroughly investigate all complaints by speaking with the complainant, interview witnesses or other involved parties, interrogate the system and available documentation and interview relevant staff members.
- Once the investigation has concluded make a formal response to complaints at stage one of our process;
 - Where a complaint is upheld to appropriately use available remedies.
 - Ensure remedies are successfully delivered by within promised timescales to the customers satisfaction
 - Where a complaint is not upheld to ensure appropriate communication with the complainant.
- To always be consistent, methodical and, logical when investigating complaints whilst being mindful that all individuals and all circumstances are unique. Use best customer care skills and treat complainants with compassion.
- Where it is apparent our staff members have fallen short of the standards expected, responsible for raising this formally with their line manager, Head of Service and the HR and Training Manager.
- To provide feedback to the operational manager and head of service on the conclusion of the complaint. Learning can therefore be captured and changes or improvements in services made for the benefit of our customers.
- Ensure accurate records of the stage one investigation and outcome are logged with the Project Assistant.
- To respond to any MP Office enquiries, working with the relevant managers to understand all information on the case in order to make a full and considered response.
- To manage internal or external inspections or audits on complaints.
- Ensure compliance with specified deadlines and response targets.
- Provide regular reports and attend Senior Management Team meetings to discuss any emerging trends or areas of concern.
- Support the Head of Business Development with reviewing of policies and procedures for customer complaints and implementation of any improvements or changes to the existing process.
- Understand the Regulatory framework for complaints through the Regulator for Social Housing, Tenant Involvement and Empowerment Standard and the Housing Ombudsman's Complaint Handling Code.

Disrepair Claims

- Thoroughly investigate Disrepair Claims by speaking with the complainant, interview witnesses or other involved parties, interrogate the system and available documentation and interview relevant staff members.
- Liaise with solicitors and insurers to provide appropriate information to support claim resolution.
- Update tracking information to monitor progress on claim resolution.

Organisational Management

- To provide strong and visible leadership.
- To manage the Complaints & Disrepair Officer, developing their skills to ensure working practices are effective and meet agreed standards of performance.
- To manage and appraise performance and provide appropriate training, development and support where required.
- To develop and maintain the morale and motivation.

General

- Assist in the training and development of new members of staff as required.
- Attend any relevant training courses and conferences as required.
- To carry out all duties with an awareness and regard to Health and Safety issues and adhere to safe systems of work specified in the Company's Safety Policy.
- To be aware of and adhere to the Company's Policies on Equalities at all times.
- To adhere to the requirements of the Data Protection Act in respect of confidentiality and disclosure of data.
- Develop and foster positive professional relationships with colleagues and external contacts.
- Make suggestions to improve the working situation within own area of work and the Company as a whole.
- Adhere to the Company's standards of behaviour and Code of Conduct.
- To ensure that the services we deliver are Customer focused and responsive to local needs, demonstrating that encouraging involvement and feedback is an integral part of the service the Company provides.

Person Specification

Personal Skills/ Characteristics	Essential	Desirable
<u>Skills, Knowledge and Experience</u>		
Substantial experience of working in a customer focused environment	✓	
Experience of Supervisory/Management	✓	
Experience of complaint investigation		✓
Excellent communication skills both written and verbal	✓	
Excellent ICT skills	✓	
The ability to plan, organise and prioritise work effectively	✓	
Experience of working to tight deadlines	✓	
Knowledge of Housing Ombudsman Complaint Code	✓	
<u>Qualifications and Training</u>		
Educated to a minimum of A Level standard	✓	
<u>Personal Qualities</u>		
<ul style="list-style-type: none"> Commitment to equalities legislation and a good understanding of its relevance to this post. 	✓	
<ul style="list-style-type: none"> Commitment to customer care and an understanding of its relevance to this post. 	✓	

Equalities Act 2010

The ways in which a disabled person meets the criteria for a post must be assessed as they would be after any reasonable adjustments required had been made. If appropriate, disabled candidates should indicate on the application form if they have needs which should be taken into account by the shortlisting manager.

Rykneld Homes Ltd

Job Description

Service: Corporate Services

Post: Complaints & Disrepair Officer

Post Number: RH

Responsible To: Complaints & Disrepair Manager

Subordinates: None

- To support the Complaints & Disrepair Manager in collating, interrogating, and providing disclosure information for all complaints and disrepair cases.
 - To effectively manage response times and data management for all stage 1 complaints, stage 2 complaints, Housing Ombudsman enquiries, MP enquires and disrepair cases.
 - To lead on the process of failed access for compliance, health & safety works, damp & mould and disrepair works, from Letter Before Action (LBA) through to Injunction processes with legal support.
 - To prepare all written correspondence to customers.
-

- To always be consistent, methodical and, logical when dealing with all cases, whilst being mindful that all individuals and all circumstances are unique.
- At all times using best customer care skills and treating all customers with compassion.
- To assist in capturing points of learning throughout all cases and provide feedback to the individual managers, teams and SMT on improvements in process, procedure or individual behaviours.
- To liaise with the Project Assistant – Business Development to ensure accurate records are kept.
- To prepare responses to straightforward enquiries received from the MP Office, working with the relevant managers to understand all information on the case in order to make a full and considered response.
- To support internal or external inspections or audits on complaints, disrepair or elements of no access for service areas.
- Ensure compliance with specified deadlines and response targets.

- Understand the Regulatory framework for complaints through the Regulator for Social Housing, Tenant Involvement and Empowerment Standard and the Housing Ombudsman's Complaint Handling Code.
- To cover in the absence of the Complaints & Disrepair Manager.
- Any other duties as commensurate with the post.

General

- Assist in the training and development of new members of staff as required.
- Attend any relevant training courses and conferences as required.
- To carry out all duties with an awareness and regard to Health and Safety issues and adhere to safe systems of work specified in the Company's Safety Policy.
- To be aware of and adhere to the Company's Policies on Equalities at all times.
- To adhere to the requirements of the Data Protection Act in respect of confidentiality and disclosure of data.
- Develop and foster positive professional relationships with colleagues and external contacts.
- Make suggestions to improve the working situation within own area of work and the Company as a whole.
- Adhere to the Company's standards of behaviour and Code of Conduct.
- To ensure that the services we deliver are Customer focused and responsive to local needs, demonstrating that encouraging involvement and feedback is an integral part of the service the Company provides.

Person Specification

Personal Skills/ Characteristics	Essential	Desirable
<u>Skills, Knowledge and Experience</u>		
Substantial experience of working in a customer focused environment	✓	
Experience of complaint investigation		✓
Excellent communication skills both written and verbal	✓	
Excellent ICT skills	✓	
The ability to plan, organise and prioritise work effectively	✓	
Experience of working to tight deadlines	✓	
Knowledge of Housing Ombudsman Complaint Code	✓	
<u>Qualifications and Training</u>		
Educated to a minimum of A Level standard	✓	
<u>Personal Qualities</u>		
<ul style="list-style-type: none"> • Commitment to equalities legislation and a good understanding of its relevance to this post. 	✓	
<ul style="list-style-type: none"> • Commitment to customer care and an understanding of its relevance to this post. 	✓	

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Rykneld Homes – EIA Tenancy Management

Considering the Equality Act 2010 and Public Sector Equality Duty

Rykneld Homes provides public services under the Public Sector Equality Duty (PSED) and we are therefore required to have due regard to the need to eliminate unlawful discrimination and advance equality of opportunities under section 149 of the Equality Act 2010. This applies to all public functions and complements the duties under the Housing Act 1996.

Actions agreed should not override the responsibilities within the Tenancy Agreement. Vulnerability does not mitigate any of these or indeed any other responsibility, however; Rykneld Homes does recognise that some customers may need support in meeting their obligations.

Please note, questions relevant to one case may not necessarily be relevant in another. Be vigilant and remember each case is different. If in doubt, please liaise with your line manager.

Tenant/s name/s:			
Address:			
Property type:		Tenancy start date:	
Occupant/s:	N/A		
	Yes <input type="checkbox"/> No <input type="checkbox"/> If 'yes' What work is required? _____ Date of work: _____		
Is the EIA due to a complaint?	Yes <input type="checkbox"/> No <input type="checkbox"/>	Complaint Stage	St. 1 <input type="checkbox"/> St. 2 <input type="checkbox"/>

Does the tenant have a protected characteristic or vulnerability risk factors?	
<input type="checkbox"/> Age <input type="checkbox"/> Disability <input type="checkbox"/> Gender Reassignment <input type="checkbox"/> Marriage and civil partnership * <input type="checkbox"/> Pregnancy and maternity <input type="checkbox"/> Race <input type="checkbox"/> Religion or belief <input type="checkbox"/> Sex <input type="checkbox"/> Sexual Orientation <input type="checkbox"/> Cognitive impairment i.e. dementia <input type="checkbox"/> Learning Disability <input type="checkbox"/> Neurodiversity i.e. autism/spectrum <input type="checkbox"/> Living alone <input type="checkbox"/> Recent Care Leaver <input type="checkbox"/> Acquired brain injury <input type="checkbox"/> Other	<input type="checkbox"/> Bankrupt/DRO <input type="checkbox"/> Literacy needs <input type="checkbox"/> Warden Alarm <input type="checkbox"/> Asylum seeker <input type="checkbox"/> Interpreter required <input type="checkbox"/> Recently bereaved <input type="checkbox"/> Safeguarding (Adult/Child) <input type="checkbox"/> Hoarding <input type="checkbox"/> Physical/mobility issues <input type="checkbox"/> Ill health <input type="checkbox"/> Psychological or emotional factors <input type="checkbox"/> Long Term Drug/alcohol misuse <input type="checkbox"/> Exposure to financial abuse <input type="checkbox"/> Poor financial literacy <input type="checkbox"/> Sensory impairment

Please state:	
Provide detail below:	
What impact does the characteristic or risk factor have on achieving work/complaint resolution?	

You shall be required to show the following:

Any additional actions, support or treatment is a proportionate means of achieving a legitimate aim.

The following questions will help you to reach a conclusion as to the proportionality of the action being considered and health and safety of the third party:

For example, if additional action or support action was not pursued, a third party's (tenant or household member) health or safety would be at risk/endangered either physically or mentally.

What is the overall aim?	
Detail:	
If the tenant has some form of impairment/disability, is it a long-term impairment? Yes <input type="checkbox"/> No <input type="checkbox"/> (Please provide full details)	
Detail:	
Does the impairment affect their normal day-to-day activities? Yes <input type="checkbox"/> No <input type="checkbox"/> (Please provide full details of how)	
Detail	
How were we made aware of the protected characteristic or vulnerability?	<input type="checkbox"/> Verbally from tenant <input type="checkbox"/> Housefile <input type="checkbox"/> Other agency or professional <input type="checkbox"/> Other (please state)
Has the health or safety of a third party already been damaged? Yes <input type="checkbox"/> No <input type="checkbox"/>	
Detail:	
Is the health or safety of the third party at risk? Yes <input type="checkbox"/> No <input type="checkbox"/>	
Detail:	
Has the third party suffered stress and or anxiety due to the proposed work or the complaint? Yes <input type="checkbox"/> No <input type="checkbox"/>	
Detail:	

Is the third party fearful in any way due to the proposed work or complaint? Yes <input type="checkbox"/> No <input type="checkbox"/>
Detail:
Can the third party access any support, external advice, assistance from friends or family to achieve the desired outcome? Yes <input type="checkbox"/> No <input type="checkbox"/>
Detail:
What actions, support or referrals will be put in place to achieve the desired outcome? 1) 2) 3)
Have these actions been discussed and agreed with the tenant? Yes <input type="checkbox"/> No <input type="checkbox"/>
If 'No' please give reasons why this was not discussed/agreed:

Conclusion

In conclusion, I have considered the information provided to me and undertaken an assessment:

I consider the tenant/individual to have <input type="checkbox"/> / not have <input type="checkbox"/> a protected characteristic.
I consider the tenant/individual suffers <input type="checkbox"/> / does not suffer <input type="checkbox"/> from a disability or vulnerability risk factor/s.
I consider the action considered is a proportionate means of achieving a legitimate aim and I consider the action considered is reasonable.

Signed(staff):

Signed (tenant):.....

Name: Marie Pearce

Name:

Position: Complaints Manager

Date:

Date: