St Mungo’s Complaints Handling Code August 23

This self-assessment form should be completed by the complaints officer and discussed at the landlord’s governing body annually.

Evidence should be included to support all statements with additional commentary as necessary.

Explanations must also be provided where a mandatory ‘must’ requirement is not met to set out the rationale for the alternative approach adopted and why this delivers a better outcome.

# Section 1 - Definition of a complaint

## Mandatory ‘must’ requirements

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| **Code section** | **Code requirement** | **Comply:****Yes/No** | **Evidence,** **commentary and any explanations** |
| **1.2** | A complaint must be defined as:‘*an expression of dissatisfaction, however made, about the standard of service,* *actions or lack of action by the organisation, its own staff, or those acting on its behalf, affecting an individual resident or group of residents*. | Yes | This is clearly defined in our complaints policy.  |
| **1.3** | The resident does not have to use the word ‘complaint’ for it to be treated as such. A complaint that is submitted via a third party or representative must still be handled in line with the landlord’s complaints policy. | Yes | This is set out in our complaints policy. |
| **1.6** | … if further enquiries are needed to resolve the matter, or if the resident requests it, the issue must be logged as a complaint. | Yes | Addressed in the *Service Requests* section of our complaints procedure.  |
| **1.7** | A landlord must accept a complaint unless there is a valid reason not to do so. | Yes | Clearly stated in our procedure, derived from the Housing Ombudsman’s guidance. |
| **1.8** | A complaints policy must clearly set out the circumstances in which a matter will not be considered, and these circumstances should be fair and reasonable to residents. | Yes | Clearly stated in our procedure, derived from the Housing Ombudsman’s guidance. |
| **1.9** | If a landlord decides not to accept a complaint, a detailed 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. | Yes | The Complaints procedure states: ‘*Where formal action must be taken to manage someone’s behaviour (for example, declining to investigate a complaint), inform the person of the decision in writing, recording on Opal [our database]. This must include a right to appeal to the Head of Quality. If the Head of Quality was involved in the decision, the appeal should be heard by the next senior person in the line-management structure who was not directly involved in the decision.’*  |

## Best practice ‘should’ requirements

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| **Code section**  | **Code requirement** | **Comply:****Yes/No** | **Evidence,** **commentary and any explanations**  |
| **1.4** | Landlords should recognise the difference between a **service request**, where a resident may be unhappy with a **situation** that they wish to have rectified, and a **complaint** about the **service** they have/have not received. | Yes | Clear definitions of both a service request and a complaint are included in our policy and procedure. |
| **1.5** | Survey feedback may not necessarily need to be treated as a complaint, though, where possible, the person completing the survey should be made aware of how they can pursue their dissatisfaction as a complaint if they wish to. | Yes | **Planned Improvement:** We will include this in our next client survey by March 24. |

# Section 2 - Accessibility and awareness

## Mandatory ‘must’ requirements

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| **Code section**  | **Code requirement** | **Comply:****Yes/No** | **Evidence,** **commentary and any explanations**  |
| **2.1** | Landlords must make it easy for residents to complain by providing different channels through which residents can make a complaint such as in person, over the telephone, in writing, by email and digitally. While the Ombudsman recognises that it may not be feasible for a landlord to use all of the potential channels, there must be more than one route of access into the complaints system.  | Yes.  | Complaints can be made via client facing staff, service managers, our complaints phone line, complaints@mungos.org or the [complaints form on website](https://www.mungos.org/contact-us/complaints-suggestions-and-comments/). |
| **2.3** | Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the number of stages involved, what will happen at each stage and the timeframes for responding.  | Yes | Our complaints procedure is summarised in a [leaflet on our website](https://www.mungos.org/wp-content/uploads/2023/06/Appendix-12-Complaints-overview-leaflet.pdf) and contains all this information in a clear and accessible format.  |
| **2.4** | Landlord websites, if they exist, must include information on how to raise a complaint. The complaints policy and process must be easy to find on the website. | Part-met | Our policy and procedure is included on the website.  |
| **2.5** | Landlords must comply with the Equality Act 2010 and may need to adapt normal policies, procedures, or processes to accommodate an individual’s needs. Landlords must satisfy themselves that their policy sets out how they will respond to reasonable adjustments requests in line with the Equality Act and that complaints handlers have had appropriate training to deal with such requests. | Yes | Our Reasonable Adjustments policy sets out our approach. All our staff, including complaints handlers, attend mandatory Diversity and Involvement webinars and e-learning.  |
| **2.6** | Landlords must publicise the complaints policy and process, the Complaint Handling Code and the Housing Ombudsman Scheme in leaflets, posters, newsletters, online and as part of regular correspondence with residents.  | Yes  | St Mungo’s publicises the complaints policy and process, the Complaint Handling Code and the Housing Ombudsman Scheme in leaflets, posters, newsletters and online.  |
| **2.7** | Landlords must provide residents with contact information for the Ombudsman as part of its regular correspondence with residents. | Yes | We provide information on the Ombudsman as part of any correspondence related to complaints, as well as on our website.  |
| **2.8** | Landlords must provide early advice to residents regarding their right to access the Housing Ombudsman Service throughout their complaint, not only when the landlord’s complaints process is exhausted. | Yes | We include details of the Housing Ombudsman in all relevant acknowledgement and response letters (we have some non-accommodation-based services where this would not be appropriate). |

## Best practice ‘should’ requirements

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| **Code section** | **Code requirement** | **Comply:****Yes/No** | **Evidence,** **commentary and any explanations** |
| **2.2** | Where a landlord has set up channels to communicate with its residents via social media, then it should expect to receive complaints via those channels. Policies should contain details of the steps that will be taken when a complaint is received via social media and how confidentiality and privacy will be maintained. | Yes | Social media is monitored by our Communications team and any complaints are referred to the Quality team. There is clear guidance on complaints received via social media in our Complaints procedure. |

# Section 3 - Complaint handling personnel

## Mandatory ‘must’ requirements

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| **Code section** | **Code requirement** | **Comply:****Yes/No** | **Evidence,** **commentary and any explanations** |
| **3.1** | Landlords must have a person or team assigned to take responsibility for complaint handling to ensure complaints receive the necessary attention, and that these are reported to the governing body. This Code will refer to that person or team as the “complaints officer.” | Yes | The Quality Team delivers this function, managed by the Head of Quality, Safeguarding and Complaints. |
| **3.2** | …the complaint handler appointed must have appropriate complaint handling skills and no conflicts of interest. | Yes | Service managers are expected to investigate and resolve complaints; an alternative manager is found if they are implicated in the complaint. Senior managers respond to Stage 2 complaints. All staff are inducted into complaints handling and there is complaints management e-learning available. |

## Best practice ‘should’ requirements

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| **Code section** | **Code requirement** | **Comply:****Yes/No** | **Evidence,** **commentary and any explanations** |
| **3.3** | Complaint handlers should: * be able to act sensitively and fairly
* be trained to handle complaints and deal with distressed and upset residents
* have access to staff at all levels to facilitate quick resolution of complaints
* have the authority and autonomy to act to resolve disputes quickly and fairly.
 |  Yes | Complaint handlers should:  *Be able to act sensitively and fairly* – this is an expectation of the St Mungo’s competency framework. Performance against this expectation is evaluated through supervision and appraisal.  *Be trained to handle complaints and deal with distressed and upset residents* – see 3.2 re. complaints training. Client-facing staff receive training that supports them to respond to distressed and upset clients, including conflict management training.  *Have access to staff at all levels to facilitate quick resolution of complaints* – complaint handlers can access their line manager, more senior managers and seek advice from the central complaints team.  *Have the authority and autonomy to act to resolve disputes quickly and fairly.* Complaint handlers are autonomous and determine the outcome of the complaint. |

# Section 4 - Complaint handling principles

**Mandatory ‘must’ requirements**

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| **Code section** | **Code requirement** | **Comply:****Yes/No** | **Evidence,** **commentary and any explanations** |
| **4.1** | Any decision to try and resolve a concern must be taken in agreement with the resident and a landlord’s audit trail/records should be able to demonstrate this. Landlords must ensure that efforts to resolve a resident’s concerns do not obstruct access to the complaints procedure or result in any unreasonable delay. It is not appropriate to have extra named stages (such as ‘stage 0’ or ‘pre-complaint stage’) as this causes unnecessary confusion for residents. When a complaint is made, it must be acknowledged and logged at stage one of the complaints procedure **within five days of receipt**. | Yes | When St Mungo’s acknowledge a complaint, our acknowledgment confirms our understanding of what the complainant wants to happen. Additionally, wherever possible, St Mungo’s will contact a complainant prior to writing to them with the outcome to explore whether they will be satisfied by it. St Mungo’s operates a straightforward two stage process. Complaints are expected to be acknowledged within two days or receipt.  |
| **4.2** | Within the complaint acknowledgement, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. If any aspect of the complaint is unclear, the resident must be asked for clarification and the full definition agreed between both parties. | Yes | This is included in our complaints procedure and our complaints acknowledgement template.  |
| **4.6** | A complaint investigation must be conducted in an impartial manner. | Yes | This is included in our complaints policy and complaints e-learning.  |
| **4.7** | The complaint handler must: * deal with complaints on their merits
* act independently and have an open mind
* take measures to address any actual or perceived conflict of interest
* consider all information and evidence carefully
* keep the complaint confidential as far as possible, with information only disclosed if necessary to properly investigate the matter.
 | Yes | This is included in our complaints policy and complaints e-learning. |
| **4.11** | Landlords must adhere to any reasonable arrangements agreed with residents in terms of frequency and method of communication | Yes | Our complaints procedure requires complaints handlers to keep complainants regularly updated.  |
| **4.12** | The resident, and if applicable any staff member who is the subject of the complaint, must also be given a fair chance to: * set out their position
* comment on any adverse findings before a final decision is made.
 | Yes | Complaints handlers are guided to speak to the complainant in person before initiating a complaint and follow up with them prior to issuing the final written outcome. |
| **4.13** | A landlord must include in its complaints policy its timescales for a resident to request escalation of a complaint | Yes | We require that Stage 2 complaint appeals are raised within two months of the Stage 1 complaint, although exceptions can be made (as detailed in the procedure). |
| **4.14** | A landlord must not unreasonably refuse to escalate a complaint through all stages of the complaints procedure and must have clear and valid reasons for taking that course of action. Reasons for declining to escalate a complaint must be clearly set out in a landlord’s complaints policy and must be the same as the reasons for not accepting a complaint. | Yes | This is set out in our complaints procedure and aligned with the Housing Ombudsman’s position on refusal of complaints.  |
| **4.15** | A full record must be kept of the complaint, any review 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 reports or surveys prepared.  | Yes | This is included in our complaints procedure. Key details (complaint, response, learning, etc) are recorded on our client monitoring system. |
| **4.18** | Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives when pursuing a complaint.  | Yes | This is included in our complaints procedure under ‘Unreasonable levels of contact’ and ‘unacceptable contact.’ We also have related, more detailed procedures, on Working with Challenging Behaviour. |

## Best practice ‘should’ requirements

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| **Code section** | **Code requirement** | **Comply:****Yes/No** | **Evidence,** **commentary and any explanations** |
| **4.3** | Landlords should manage residents’ expectations from the outset, being clear where a desired outcome is unreasonable or unrealistic | Yes | Our procedure states: *Be clear in managing expectations from the outcome if any desired outcomes are unreasonable* or unrealistic. |
| **4.4** | A complaint should be resolved at the earliest possible opportunity, having assessed what evidence is needed to fully consider the issues, what outcome would resolve the matter for the resident and whether there are any urgent actions required. | Yes | This is included in our complaints procedure, specifically with our reference to *quick wins* and *If any [issues] can be immediately resolved, resolve them*. |
| **4.5** | Landlords should 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 where this is reasonable.  | Yes | Our complaints procedure includes a section on Representatives and Advocates.  |
| **4.8** | Where a key issue of a complaint relates to the parties’ legal obligations landlords should clearly set out their understanding of the obligations of both parties. | Yes | This is included in our complaints procedure.  |
| **4.9** | Communication with the resident should not generally identify individual members of staff or contractors. | Yes | This is included in our complaints procedure under ‘Confidentiality.’  |
| **4.10** | Landlords should keep residents regularly updated about the progress of the investigation. | Yes | Our procedure sets out *Keep the complainant regularly updated about the progress of the investigation, even where there is no new substantive information to provide.* |
| **4.16** | Landlords should seek feedback from residents in relation to the landlord’s complaint handling as part of the drive to encourage a positive complaint and learning culture. | Yes | Feedback is sought by members of our Quality team and other trained staff auditors when carrying out our regular quality audit programme of our services. We also ask clients about their satisfaction as part of our annual client survey*.* We log client’s satisfaction with complaints handling on the complaints record, where known. |
| **4.17** | Landlords should recognise the impact that being complained about can have on future service delivery. Landlords should ensure that staff are supported and engaged in the complaints process, including the learning that can be gained | Yes | We regularly communicate to the wider organisation about complaints through blogs, presentations, and our Complaints Learning Bulletin.Staff are supported in their understanding of the complaints process through regular support and supervision sessions, team meetings and, where possible, reflective practice sessions. The Quality team provide complaints drop-in sessions and complaints surgeries to teams who require more support. |
| **4.19** | Any restrictions placed on a resident’s contact due to unacceptable behaviour should be appropriate to their needs and should demonstrate regard for the provisions of the Equality Act 2010.  | Yes | This is included in our Responding to Challenging Behaviour policies and procedures. |

# Section 5 - Complaint stages

## Mandatory ‘must’ requirements

## Stage 1

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| --- | --- | --- | --- |
| **Code section**  | **Code requirement** | **Comply:****Yes/No** | **Evidence,** **commentary and any explanations**  |
| **5.1** | Landlords must respond to the complaint **within 10 working days** of the complaint being logged. Exceptionally, landlords may provide an explanation to the resident containing a clear timeframe for when the response will be received. This should not exceed a further 10 days without good reason.  | Yes | This is included in our complaints procedure and monitored. Complaints handlers are provided with clear guidance should they need to extend the timescale. |
| **5.5** | A complaint response must be sent 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 expeditiously with regular updates provided to the resident.  | Yes | This is included in our complaints procedure. We have an Action Register, separate to the complaint outcome.  |
| **5.6** | Landlords must address all points raised in the complaint and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate. | Yes | This is included in our complaints procedure.     |
| **5.8** | Landlords must confirm the following in writing to the resident at the completion of stage one in clear, plain language: * the complaint stage
* the decision on the complaint
* the reasons for any decisions made
* the details of any remedy offered to put things right
* details of any outstanding actions
* details of how to escalate the matter to stage two if the resident is not satisfied with the answer
 | Yes | This is clearly set out in our complaints response template. |

## Stage 2

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| --- | --- | --- | --- |
| **Code section**  | **Code requirement** | **Comply:****Yes/No** | **Evidence,** **commentary and any explanations**  |
| **5.9** | If all or part of the complaint is not resolved to the resident’s satisfaction at stage one it must be progressed to stage two of the landlord’s procedure, unless an exclusion ground now applies. In instances where a landlord declines to escalate a complaint it must clearly communicate in writing its reasons for not escalating as well as the resident’s right to approach the Ombudsman about its decision.  | Yes | This is included in our complaints procedure. The reasons for declining to escalate a complaint at Stage 2 are clearly set out in the response written by the Quality team.  |
| **5.10** | On receipt of the escalation request, landlords must set out their understanding of issues outstanding and the outcomes the resident is seeking. If any aspect of the complaint is unclear, the resident must be asked for clarification and the full definition agreed between both parties.  | Yes | This is included in our complaints procedure and included in our Stage 2 acknowledgement letter template.  |
| **5.11** | Landlords must only escalate a complaint to stage two once it has completed stage one and at the request of the resident. | Yes | This is included in our complaints procedure.  |
| **5.12** | The person considering the complaint at stage two, must not be the same person that considered the complaint at stage one. | Yes | This is included in our complaints procedure.  |
| **5.13** | Landlords must respond to the stage two complaint **within 20 working days** of the complaint being escalated. Exceptionally, landlords may provide an explanation to the resident containing a clear timeframe for when the response will be received. This should not exceed a further 10 days without good reason.  | Yes | This is included in our complaints procedure and guidance is given if the complaints handler needs to request an escalation.  |
| **5.16** | Landlords must confirm the following in writing to the resident at the completion of stage two in clear, plain language: * the complaint stage
* the complaint definition
* the decision on the complaint
* the reasons for any decisions made
* the details of any remedy offered to put things right
* details of any outstanding actions

**and** * if the landlord has a third stage, details of how to escalate the matter to stage three
* if this was the final stage, details of how to escalate the matter to the Housing Ombudsman Service if the resident remains dissatisfied.
 | Yes | This is included in our complaints procedure and clearly set out in our Stage 2 complaint response template. |

## Stage 3

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| **Code section** | **Code requirement** | **Comply:****Yes/No** | **Evidence,** **commentary and any explanations**  |
| **5.17** | Two stage landlord complaint procedures are ideal. This ensures that the complaint process is not unduly long. If landlords strongly believe a third stage is necessary, they must set out their reasons for this as part of their self-assessment. A process with more than three stages is not acceptable under any circumstances. | N/A | St Mungo’s operates a two stage process.  |
| **5.20** | Landlords must confirm the following in writing to the resident at the completion of stage three in clear, plain language: * the complaint stage
* the complaint definition
* the decision on the complaint
* the reasons for any decisions made
* the details of any remedy offered to put things right
* details of any outstanding actions
* details of how to escalate the matter to the Housing Ombudsman Service if the resident remains dissatisfied
 | N/A | St Mungo’s operates a two stage process. |

## Best practice ‘should’ requirements

## Stage 1

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| **Code section** | **Code requirement** | **Comply:****Yes/No** | **Evidence,** **commentary and any explanations**  |
| **5.2** | If an extension beyond 20 working days is required to enable the landlord to respond to the complaint fully, this should be agreed by both parties.  | Yes | Captured in our complaints process, acknowledging there may be some occasions when agreement cannot be reached.  |
| **5.3** | Where agreement over an extension period cannot be reached, landlords should provide the Housing Ombudsman’s contact details so the resident can challenge the landlord’s plan for responding and/or the proposed timeliness of a landlord’s response. | Yes | This is included in our complaints procedure.  |
| **5.4** | Where the problem is a recurring issue, the landlord should consider any older reports as part of the background to the complaint if this will help to resolve the issue for the resident. | Yes | This is included in our complaints procedure. |
| **5.7** | Where residents raise additional complaints during the investigation, these should be incorporated into the stage one response if they are relevant and the stage one response has not been issued. Where the stage one response has been issued, or it would unreasonably delay the response, the complaint should be logged as a new complaint. |  Yes | This is included in our complaints procedure. |

## Stage 2

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| **Code section**  | **Code requirement** | **Comply:****Yes/No** | **Evidence,** **commentary and any explanations**  |
| **5.14** | If an extension beyond 10 working days is required to enable the landlord to respond to the complaint fully, this should be agreed by both parties.  | Yes | Captured in our complaints process, acknowledging there may be some occasions when agreement cannot be reached.  |
| **5.15** | Where agreement over an extension period cannot be reached, landlords should provide the Housing Ombudsman’s contact details so the resident can challenge the landlord’s plan for responding and/or the proposed timeliness of a landlord’s response | Yes | This is included in our complaints procedure.  |

## Stage 3

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| **Code section**  | **Code requirement** | **Comply:****Yes/No** | **Evidence,** **commentary and any explanations**  |
| **5.18** | Complaints should only go to a third stage if the resident has actively requested a third stage review of their complaint. Where a third stage is in place and has been requested, landlords must respond to the stage three complaint **within 20 working days** of the complaint being escalated. Additional time will only be justified if related to convening a panel. An explanation and a date for when the stage three response will be received should be provided to the resident.  | N/A | St Mungo’s operates a two stage process. |
| **5.19** | Where agreement over an extension period cannot be reached, landlords should provide the Housing Ombudsman’s contact details so the resident can challenge the landlord’s plan for responding and/or the proposed timeliness of a landlord’s response. | N/A | St Mungo’s operates a two stage process. |

# Section 6 - Putting things right

## Mandatory ‘must’ requirements

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| **Code section**  | **Code requirement** | **Comply:****Yes/No** | **Evidence,** **commentary and any explanations**  |
| **6.1** | Effective dispute resolution requires a process designed to resolve complaints. 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. | Yes | This is included in our complaints procedure and a section on what we will do to put things right included in the complaints response template.  |
| **6.2** | Any remedy offered must reflect the extent of any service failures and the level of detriment caused to the resident as a result. A landlord must carefully manage the expectations of residents and not promise anything that cannot be delivered or would cause unfairness to other residents. | Yes | This is included in our complaints procedure and compensation guidelines, which are fully aligned with the Housing Ombudsman’s guidance. |
| **6.5** | 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 | This is included in our complaints procedure and recorded on our complaints monitoring system.  |
| **6.6** | In awarding compensation, a landlord must consider whether any statutory payments are due, if any quantifiable losses have been incurred, the time and trouble a resident has been put to as well as any distress and inconvenience caused. | Yes | This is included in our compensation guidelines. |

## Best practice ‘should’ requirements

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| **Code section**  | **Code requirement** | **Comply:****Yes/No** | **Evidence,** **commentary and any explanations**  |
| **6.3** | Landlords should look beyond the circumstances of the individual complaint and consider whether anything needs to be ‘put right’ in terms of process or systems to the benefit of all residents.  | Yes | This is achieved through our “Organisational Recommendations” process, written into our Complaints Procedure.  |
| **6.7** | In some cases, a resident may have a legal entitlement to redress. The landlord should still offer a resolution where possible, obtaining legal advice as to how any offer of resolution should be worded.  | Yes | We have a clear compensation policy which is aligned with the Ombudsman guidance and seek legal advice, where necessary and appropriate. |

# Section 7 - Continuous learning and improvement

**Mandatory ‘must’ requirements**

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| **Code section** | **Code requirement** | **Comply:****Yes/No** | **Evidence,** **commentary and any explanations** |
| **7.2** | Accountability and transparency are integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints in their annual report and more frequently to their residents, staff and scrutiny panels.  | Yes | We share these lessons with residents via the complaints response for individual complaints (as detailed above it is part of the standard template). Where it is an issue which affects more than one client, complainants may be informed via letters put under their doors, door to door updates, client meetings and ‘You said, We did’ posters. We provide quarterly complaints reports to the Client Services Committee. These include thematic analyses of learning points. The Committees and Board are also notified of any complaints heard by the Housing Ombudsman. Furthermore, we inform the Board of complaints resolution times on a quarterly basis. We have a representative from our Client Advisory Board attending Committee meetings.We include learning and improvements from complaints in our annual report. |

**Best practice ‘should’ requirements**

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| **Code section** | **Code requirement** | **Comply:****Yes/No** | **Evidence,** **commentary and any explanations** |
| **7.3** | A member of the governing body should be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This role will be responsible for ensuring the governing body receives regular information on complaints that provides insight to the governing body on the landlord’s complaint handling performance.  |  Yes | The Chair of the Client Services Committee is appointed to this role. The Client Services Committee is responsible for seeking assurance that the handling of housing related complaints is in line with the Housing Ombudsman’s Code of Practice and for ensuring that lessons are learnt and embedded from findings of the Housing Ombudsman. The Committee receives a quarterly Complaints Report and a summary of any cases being investigated by the Housing Ombudsman is also reported to the Board via the Chief Executive’s Report. Where there has been a maladministration finding then the Client Services Committee will receive a Best Practice Review setting out the lessons learnt. |
| **7.4** | As a minimum, governing bodies should receive:* Regular updates on the volume, categories and outcome of complaints, alongside complaint handling performance including compliance with the Ombudsman’s orders
* Regular reviews of issues and trends arising from complaint handling,
* The annual performance report produced by the Ombudsman, where applicable
* Individual complaint outcomes where necessary, including where the Ombudsman made findings of severe maladministration or referrals to regulatory bodies. The implementation of management responses should be tracked to ensure they are delivered to agreed timescales. The annual self-assessment against the Complaint Handling Code for scrutiny and challenge.
 | Yes.  | We provide quarterly complaints reports to the Client Services Committee which covers all these points. The Committees and Board are also notified of any complaints heard by the Housing Ombudsman. Any finding of maladministration will result in a Best Practice Review where improvement actions are tracked.  |
| **7.5** | Any themes or trends should be assessed by senior management to identify potential systemic issues, serious risks or policies and procedures that require revision. They should also be used to inform staff and contractor training.  | Yes | A report is produced and evaluated at a bi-monthly meeting of senior managers. Learning is fed into our Complaints Learning Bulletins which are published on our intranet. |
| **7.6** | Landlords should have a standard objective in relation to complaint handling for all employees that reflects the need to:* have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments
* take collective responsibility for any shortfalls identified through complaints rather than blaming others
* act within the Professional Standards for engaging with complaints as set by the Chartered Institute of Housing.
 | Yes | St Mungo’s Excellence Standards and services and Competency Framework includes these points. |

# Section 8 - Self-assessment and compliance

## Mandatory ‘must’ requirements

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| **Code section** | **Code requirement** | **Comply:****Yes/No** | **Evidence,** **commentary and any explanations** |
| **8.1** | Landlords must carry out an annual self-assessment against the Code to ensure their complaint handling remains in line with its requirements.  | Yes | St Mungo’s plans annual reviews of the self-assessment. |
| **8.2** | Landlords must also carry out a self-assessment following a significant restructure and/or change in procedures.  | Yes | We completed this with the April 2022 review of the complaints policy and procedure and would ensure to do so with future reviews.  |
| **8.3** | Following each self-assessment, a landlord must: * report the outcome of their self-assessment to their governing body. In the case of local authorities, self-assessment outcomes should be reported to elected members
* publish the outcome of their assessment on their website if they have one, or otherwise make accessible to residents
* include the self-assessment in their annual report section on complaints handling performance
 | Yes | St Mungo’s reports the self-assessment to the Client Services Committee. publishes [the self-assessment](https://www.mungos.org/app/uploads/2021/01/Complaint-Handling-Code-Self-Assessment-31-Dec-2020.pdf) on our website. Includes a link to our self-assessment in our Report to Residents. |