
BRENT DAVIS
CHIEF EXECUTIVE
Town Hall, Nuneaton,
Warwickshire, CV11 5AA

Our Ref: KB

Date: 28th May 2024

Telephone Committee Services: (024) 7637 6000
Fax No. (024) 7637 6596
Typetalk Registered
DX Nuneaton 16458
e-mail: committee@nuneatonandbedworth.gov.uk
If calling please ask for: Committee Services

Dear Sir/Madam,

A meeting of the **Housing and Communities Overview and Scrutiny Panel** will be held in the Council Chamber, Town Hall, Nuneaton on **Thursday, 6th June 2024 at 6.00 p.m.**

Yours faithfully,

Brent Davis

Chief Executive

To: All Members of the Housing and Communities Overview and Scrutiny Panel

Councillors B Hughes (Chair), M, Etienne (Vice-Chair), E. Amaechi, M. Bird, T. Cooper, S. Dhillon, W. Markham, B. Pandher and T. Venson.

A G E N D A

PART 1 – PUBLIC BUSINESS

1. ANNOUNCEMENTS AND EVACUATION PROCEDURE

A fire drill is not expected, so if the alarm sounds please evacuate the building quickly and calmly. Please use the stairs and do not use the lifts. Once out of the building, please gather outside Lloyds Bank on the opposite side of the road.

Exit by the door by which you entered the room or by the fire exits which are clearly indicated by the standard green fire exit signs.

If you need any assistance in evacuating the building, please make yourself known to a member of staff.

Please also make sure all your mobile phones are turned off or set to silent.

2. APOLOGIES - To receive apologies for absence from the meeting.

3. DECLARATIONS OF INTEREST/PARTY WHIP - To receive declarations of Disclosable Pecuniary and Other interests in accordance with the Members' Code of Conduct and of the Party Whip in accordance with the Overview and Scrutiny Procedure Rules 4E, Paragraph 16(b).

Declaring interests at meetings

If there is any item of business to be discussed at the meeting in which you have a disclosable pecuniary interest or non-pecuniary interest (Other Interests), you must declare the interest appropriately at the start of the meeting or as soon as you become aware that you have an interest.

Arrangements have been made for interests that are declared regularly by members to be appended to the agenda (**Page 5**). Any interest noted in the Schedule at the back of the agenda papers will be deemed to have been declared and will be minuted as such by the Committee Services Officer. As a general rule, there will, therefore, be no need for those Members to declare those interests as set out in the schedule.

There are, however, TWO EXCEPTIONS to the general rule:

1. When the interest amounts to a Disclosable Pecuniary Interest that is engaged in connection with any item on the agenda and the member feels that the interest is such that they must leave the room. Prior to leaving the room, the member must inform the meeting that they are doing so, to ensure that it is recorded in the minutes.
2. Where a dispensation has been granted to vote and/or speak on an item where there is a Disclosable Pecuniary Interest, but it is not referred to in the Schedule (where for example, the dispensation was granted by the Monitoring Officer immediately prior to the meeting). The existence and nature of the dispensation needs to be recorded in the minutes and will, therefore, have to be disclosed at an appropriate time to the meeting.

Note: Following the adoption of the new Code of Conduct, Members are reminded that they should declare the existence and nature of their personal interests at the commencement of the relevant item (or as soon as the interest becomes apparent). If that interest is a Disclosable Pecuniary or a Deemed Disclosable Pecuniary Interest, the Member must withdraw from the room.

Where a Member has a Disclosable Pecuniary Interest but has received a dispensation from Audit & Standards Committee, that Member may vote and/or speak on the matter (as the case may be) and must disclose the existence of the dispensation and any restrictions placed on it at the time the interest is declared.

Where a Member has a Deemed Disclosable Interest as defined in the Code of Conduct, the Member may address the meeting as a member of the public as set out in the Code.

Note: Council Procedure Rules require Members with Disclosable Pecuniary Interests to withdraw from the meeting unless a dispensation allows them to remain to vote and/or speak on the business giving rise to the interest.

Where a Member has a Deemed Disclosable Interest, the Council's Code of Conduct permits public speaking on the item, after which the Member is required by Council Procedure Rules to withdraw from the meeting.

4. PUBLIC CONSULTATION - Members of the Public will be given the opportunity to speak on specific agenda items if notice has been received.

Members of the public will be given three minutes to speak on a particular item and this is strictly timed. The chair will inform all public speakers that: their comments must be limited to addressing issues raised in the agenda item under consideration: and that any departure from the item will not be tolerated.

The chair may interrupt the speaker if they start discussing other matters which are not related to the item, or the speaker uses threatening or inappropriate language towards Councillors or officers and if after a warning issued by the chair, the speaker persists, they will be asked to stop speaking by the chair. The chair will advise the speaker that, having ignored the warning, the speaker's opportunity to speak to the current or other items on the agenda may not be allowed. In this eventuality, the chair has discretion to exclude the speaker from speaking further on the item under consideration or other items of the agenda.

5. QUESTIONS TO CABINET – In accordance with Overview & Scrutiny Procedure Rule 4.E.8 c) 20 minutes shall be set aside for questions to a member of the Cabinet from the Panel in relation to matters in respect of which the Panel has powers or duties.
6. INTEGRATED PERFORMANCE REPORT – END OF YEAR (FOURTH QUARTER) 2023/24 – a report of the Risk Management and Performance Officer, attached **(Page 7)**.
7. COMPLAINT HANDLING CODE SELF-ASSESSMENT AND HOUSING COMPLAINTS ANNUAL REPORT 2023/24 – a report of the Assistant Director, Social Housing & Community Safety, attached **(Page 126)**.
8. LANDLORD SERVICES KEY PERFORMANCE INDICATOR SELECTION – a report of the Assistant Director, Social Housing & Community Safety **(To Follow)**.
9. FORWARD PLAN – attached for information **(Page 251)**.
10. WORK PROGRAMME 2024/25 – for approval, attached **(Page 259)**.
11. ANY OTHER ITEMS which in the opinion of the Chair of the meeting should be considered as a matter of urgency because of special circumstances (which must be specified).

THIS PAGE IS FOR INFORMATION ONLY

Nuneaton and Bedworth Borough Council

Building A Better Borough

Nuneaton and Bedworth 2032: working in partnership, restoring pride in our borough

AIM 1: LIVE

We want to make our borough a place where our residents enjoy living and in which others choose to make their home.

Priority 1: Promote residents' health and wellbeing

Priority 2: Enable appropriate housing development

Priority 3: Sponsor a sustainable green approach

Priority 4: Prioritise community safety and empowerment

AIM 2: WORK

Using our prime location within the national road and rail networks and responding to the needs of private companies, we want to make our borough a place in which businesses choose to locate and where our residents enjoy a range of employment options.

Priority 1: Grow a strong and inclusive economy

Priority 2: Champion education and skills

Priority 3: Embrace new and emerging technology

Priority 4: Support local businesses

AIM 3: VISIT

Taking advantage of our open green spaces, our heritage, and our location within the West Midlands, we want our borough to be a vibrant destination for residents and visitors alike. A place where people and families want to spend time relaxing, socialising and taking part in leisure and cultural activities.

Priority 1: Create vibrant and diverse town centres

Priority 2: Stimulate regeneration

Priority 3: Celebrate and promote our heritage

Priority 4: Improve the physical environment

**Housing and Communities OSP –
Schedule of Declarations of Interests – 2024/2025**

	Name of Councillor	Disclosable Pecuniary Interest	Other Personal Interest	Dispensation
	General dispensations granted to all members under s.33 of the Localism Act 2011			<p>Granted to all members of the Council in the areas of:</p> <ul style="list-style-type: none"> - Housing matters - Statutory sick pay under Part XI of the Social Security Contributions and Benefits Act 1992 - An allowance, payment given to members - An indemnity given to members - Any ceremonial honour given to members - Setting council tax or a precept under the Local Government Finance Act 1992 - Planning and Licensing matters - Allotments - Local Enterprise Partnership
	E. Amaechi	<ul style="list-style-type: none"> - Employed NHS Wales Shared Services Partnership (NWSSP) - Ricky Global Consultants Ltd - Purple Dove Events Ltd 		
	M. Bird		Life Member of National Association of British Market Authorities	
	T. Cooper	None	<p>Member on the following Outside Bodies:</p> <ul style="list-style-type: none"> • Camp Hill Urban Village: Pride in Camp Hill Board • Committee of Management of Hartshill and Nuneaton Recreation Ground 	
	S. Dhillon	Employed by UHCW NHS Trust	Member (Rep) at Unison – UHCW Trust	
	M. Etienne	Employed by Network Rail	RMT Member	
	B. Hughes	Full Time Carer		
	W. Markham		<p>Governor at Ash Green School for SEND</p> <p>Member of Unite Union</p>	
	B. Pandher		Member of Warwickshire	

	Name of Councillor	Disclosable Pecuniary Interest	Other Personal Interest	Dispensation
			<p>County Council.</p> <p>President & Trustee of Nanaksar Gurdwara Gursikh Temple Coventry; Coordinator of Council of Sikh Temples in Coventry; Secretary of Coventry Indian Community; Trustee of Sikh Monument Trust Vice Chair Exhall Multicultural Group</p> <p>Member of the following Outside Bodies:</p> <ul style="list-style-type: none"> • Foleshill Charity Trustee – Proffitt's Charity • Conservative Party 	
	T. Venson	Employed by Freightliner Heavy Haul	A5IEF Trade Union The Labour Party	

Cover Note - June 2024 Overview and Scrutiny Panel's

- Housing and Communities OSP
- Environment and Leisure OSP
- Business and Regeneration OSP
- Health and Corporate Resources OSP

The purpose of this cover note is to provide Members of each Overview and Scrutiny Panel (OSP) with clarity regarding the performance data report related to quarter 4 of the 2023/2024 financial year.

Members will note quarter 4 data is presented in alignment with the previous OSP arrangements when a total of three panels existed. This data relates to quarter 4 of the 2023/2024 financial year and was prepared prior to Annual Council, meaning it predates Council's decision to implement four (4) OSP's with effect from the 2024/2025 Municipal Year. Members will note Council's decision at Annual Council on the 15th May where a 4th OSP was created and, for some OSP's, a different remit now exists.

Therefore, the quarter 4 data for the 2023/2024 financial year is presented in the original format and Officers will align the performance report for quarter 1 (2024/2025) onwards with the new OSP's at the next meeting of each OSP. This ensures consistency regarding previous reporting data and clarity. It also means quarter 1 data will commence from the start of the new financial year in a new format, ensuring it is aligned with the new remit and OSP setup.

If performance data in the report does not align with the new OSP remits, the panel cannot discuss that performance data. The panel must only discuss and consider performance data within the remit of the new OSP. This will mean elements of the performance report will not be relevant to the new OSP.

MATTHEW WALLBANK

Assistant Director – Democracy and Governance

NUNEATON AND BEDWORTH BOROUGH COUNCIL

Report to: **Housing and Communities OSP, 6th June 2024**

From: **Risk Management and Performance Officer**

Subject: **INTEGRATED PERFORMANCE REPORT - FOURTH QUARTER 2023-24**

1. Purpose of Report

- 1.1 This integrated report seeks to provide appropriate performance measures, budget information and risk data for service areas within the scope of this Panel.
- 1.2 The report has been adapted to reduce the volume of data (as previously reported under the former scrutiny panel arrangements) whilst still providing the Panel with sufficient information to monitor results to address issues arising.

2. Format of Report

The report consists of three parts:

- 2.1 **Appendix A** shows the results available as at the end of the latest quarter:
- The first page provides a summary of financial / performance / strategic risk register data within the remit of the panel and Freedom of Information / complaints – **SEE IMPORTANT NOTE BELOW.**
 - The following finance table give(s) a breakdown of budgets by service areas and the “key” ones are highlighted in bold text – **SEE IMPORTANT NOTE BELOW.**
 - Subsequent pages provide more detailed information on performance in these key areas. Charts have been introduced for each indicator and “smiley / sad / neutral faces”, as appropriate, to indicate the performance trend.
 - The last page provides an overall conclusion for the key areas and, when applicable, exception reporting of performance information for the other (“non-key”) areas to ensure that Elected Members are made aware of issues / under-performance.

IMPORTANT NOTE: Financial data is NOT available for the fourth quarter as the Statement of Accounts for 2023/24 is still in progress. Financial outturn will be reported to Cabinet in July.

- 2.2 The Strategic Risk Register summary then follows (**Appendix B**). This shows the latest quarter status summary of the full register followed by the summary and current details of those risks **within the remit** of the panel.

2.3 Next is the latest Strategic Performance Report Executive Summary (**Appendix C**).

The Strategic Performance report has been developed to provide an overview of the Council's position using the following categories:

- Finance
- People and Service Delivery
- Processes
- Improvement

The report is reviewed monthly by Management Team.

It provides concise information on positive performance, areas of improvement and where performance is on or around target - comparing to best practice, and/or target and/or previous year, as appropriate.

2.4 Freedom of Information (FOI) / Environmental Information Regulations (EIR) Requests and Complaints

Members have requested summaries of the (anonymised) details of FOI / EIR requests and Complaints outside of their relevant response timescales - these are shown at **Appendix D** and **Appendix E**, respectively. Please note that EIR provides a statutory right of access to environmental information held by UK public authorities.

2.5 Finally, on this occasion only, details of Member Enquiry Forms and fly tipping /grounds maintenance enquiries for 2023/24 are included in the report at **Appendix F** – as requested during the last round of scrutiny panel meetings.

3. **Regulation of Investigatory Powers Act (RIPA) 2000 (covert surveillance)**

An inspection report by the Office of Surveillance Commissioners highlighted the following recommendation:

“The importance of keeping the elected Councillors aware of any activity [or non-activity] under RIPA was appreciated and it was accepted that a minimal observation would be incorporated at regular intervals into officer's reports”

Consequently, Elected Members should be aware that, as at the end of this quarter, there have been no surveillance operations.

4. **Recommendation**

The panel is asked to scrutinise the performance information contained in this report and make any recommendations to the relevant Cabinet portfolio holder.

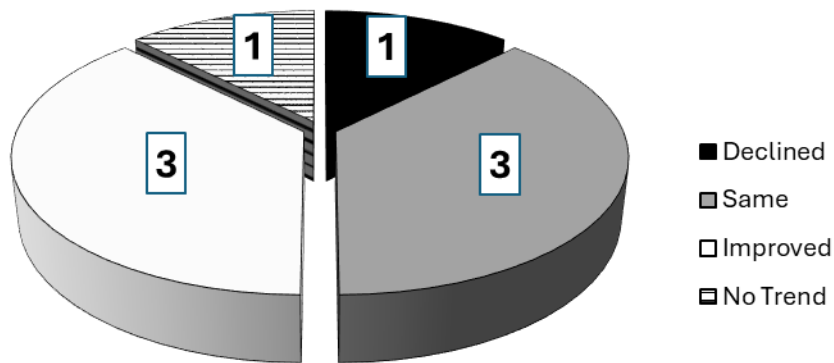
STEVE GORE

No financial data is available for the fourth quarter

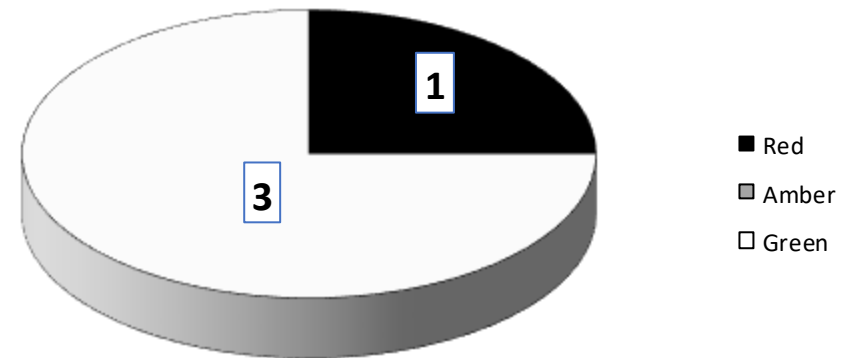
Freedom of Information (FOI) / Environmental Information Regulations (EIR) Requests and Complaints Summary

	Number Received 2023/24 (2022/23)	Completed 2023/24 (2022/23)	Late 2023/24 (2022/23)	Outstanding 2023/24 (2022/23)
FOI / EIR Requests - 20-day target	744 (761)	739 (755)	150 (143)	5 (6)
Complaints -10-day target	1,584 (1,102)	1,581 (1,092)	173 (262)	3 (10)

Performance Indicators / Measures Summary



Strategic Risk Register Summary - Housing, Environment and Health OSP



No financial data is available for the fourth quarter
HOUSING, ENVIRONMENT & HEALTH OSP FINANCIAL SUMMARY (GENERAL FUND)

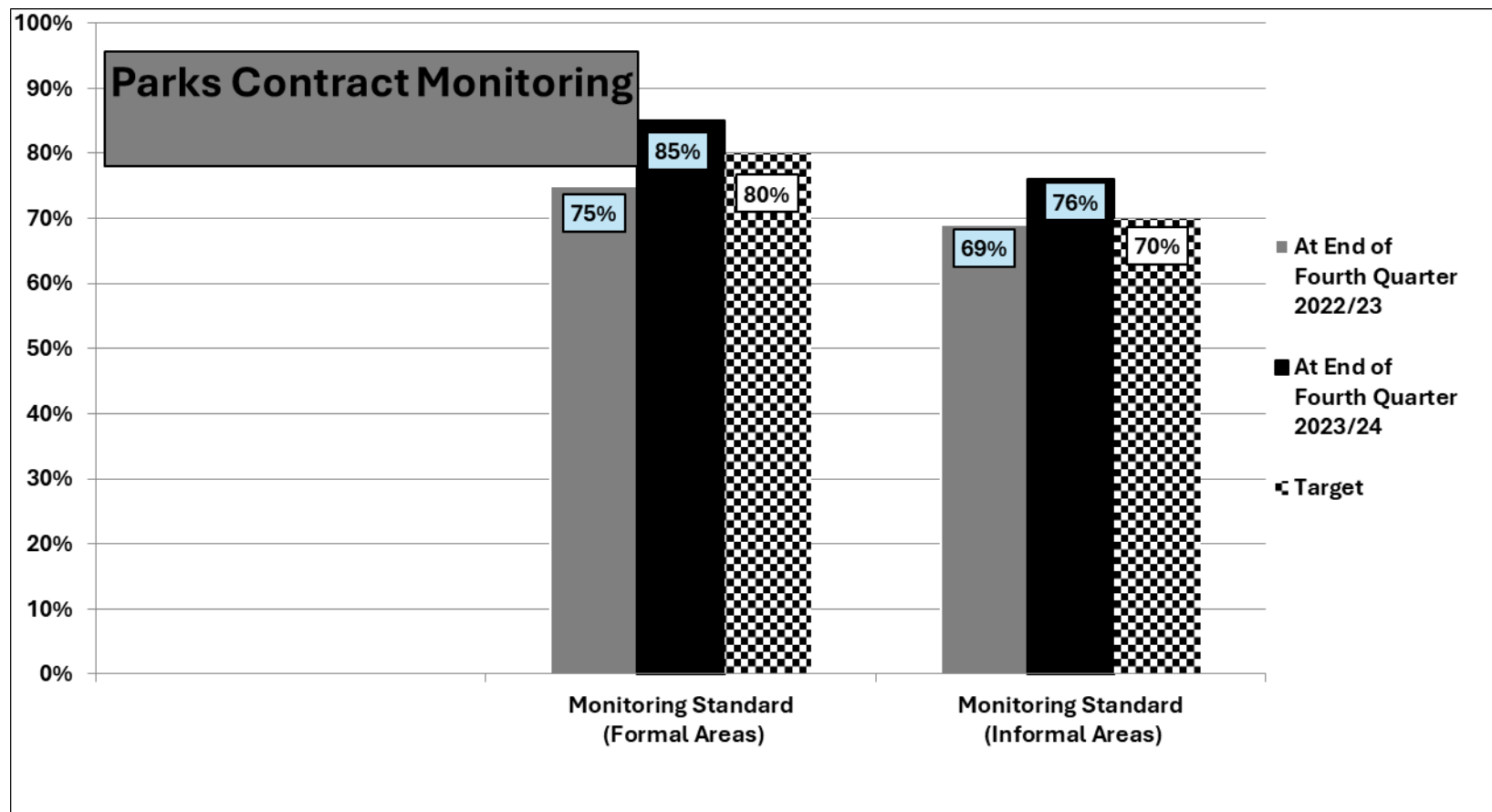
	2022/23 Outturn £	2023/24 Current Budget £	2023/24 Current Forecast £	2023/24 Forecast Variance £
<u>HEALTH & ENVIRONMENT</u>				
ENVIRONMENTAL PROTECTION				
FOOD & OCCUPATIONAL SAFETY				
HEALTH PROMOTION & INEQUALITIES				
FOOTPATH LIGHTING				
ENVIRONMENTAL PROJECTS				
CEMETERIES				
ALLOTMENTS				
PARKS				
ENVIRONMENTAL SUSTAINABILITY				
<u>HOUSING & COMMUNITIES</u>				
HOUSING ADVICE CENTRE				
PRIVATE SECTOR GRANTS				
HOUSING STRATEGY				
PRIVATE SECTOR HOUSING STANDARDS				
MOBILE HOME SITES				
COMMUNITY DEVELOPMENT				
VOLUNTARY BODIES				
COMMUNITY SAFETY				
<u>BUSINESS & REGENERATION TOTAL</u>				
<u>FINANCE & CORPORATE TOTAL</u>				
<u>PLANNING & REGULATION TOTAL</u>				
<u>PUBLIC SERVICES TOTAL</u>				

	2022/23 Outturn £	2023/24 Current Budget £	2023/24 Current Forecast £	2023/24 Forecast Variance £
CENTRAL SUPPORT SERVICES				
PORTFOLIOS				
CENTRAL PROVISIONS				
DEPRECIATION & IMPAIRMENT				
TREASURY MANAGEMENT				
CAPITAL FINANCING				
CONTRIBUTIONS TO/ (FROM) EARMARKED RESERVES				
COUNCIL NET EXPENDITURE				
FUNDING				
COUNCIL TAX				
NEW HOMES BONUS				
BUSINESS RATES RETENTION				
OTHER GRANTS				
(SURPLUS)/DEFICIT FROM COLLECTION FUND				
TOTAL FUNDING				
(SURPLUS)/ DEFICIT				

Parks - (Housing, Environment & Health OSP)

Budget 2023/24	Fourth Quarter Outturn	Comments	Trend
		No financial data is available for the fourth quarter	

Main measures of performance: **Contract Monitoring**

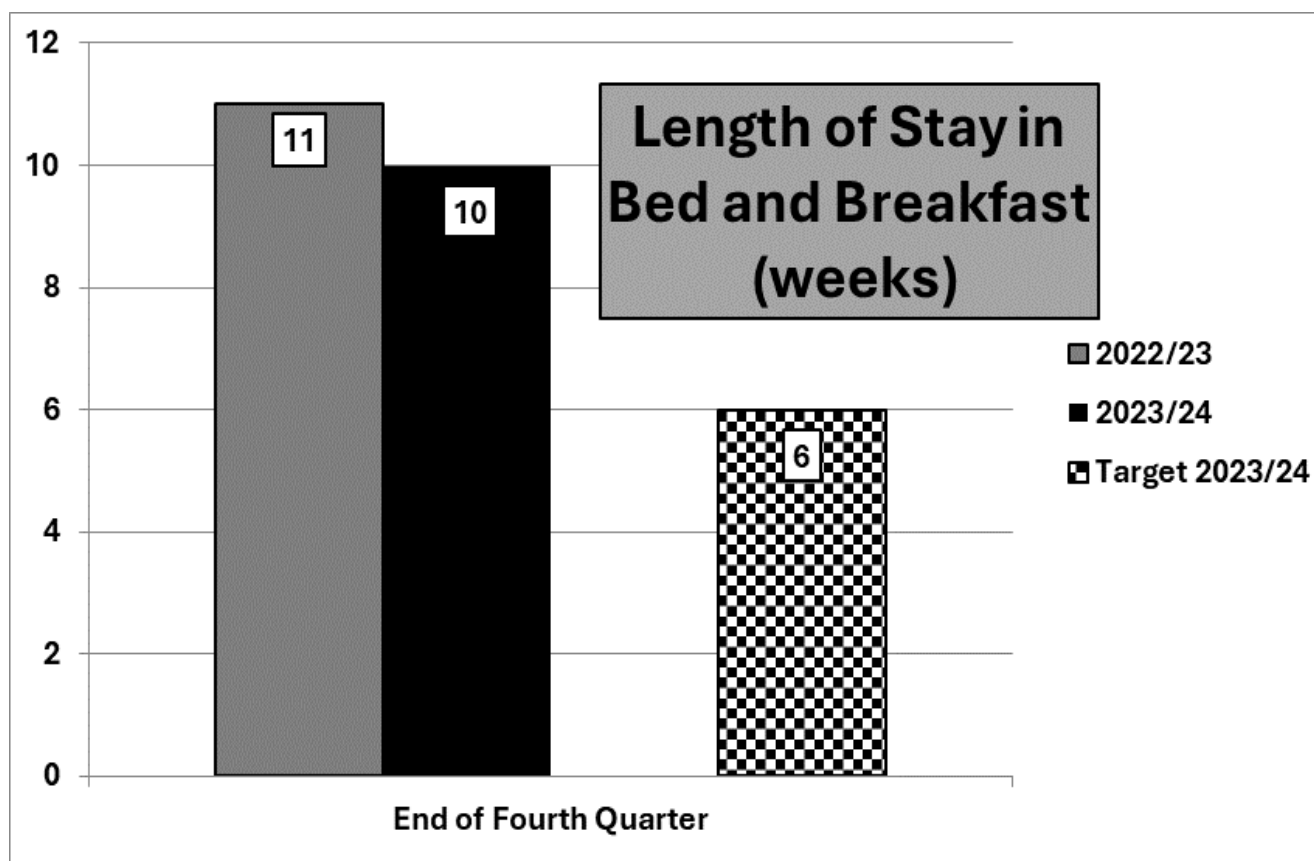


Measure details	End of Fourth Quarter Performance (Formal Areas, target 80%)	End of Fourth Quarter Performance (Informal Areas, target 70%)	Comments	Trend indicator
2022/23	75%	69%	A marked improvement in both monitoring measures compared to the fourth quarter 2022/23.	😊
2023/24	85%	76%		😊

Housing Advice Centre – (Housing, Environment & Health OSP)

Budget 2023/24	Fourth Quarter Outturn	Comments	Trend
		No financial data is available for the fourth quarter	

Main measure of performance: **Length of Stay in Bed and Breakfast**

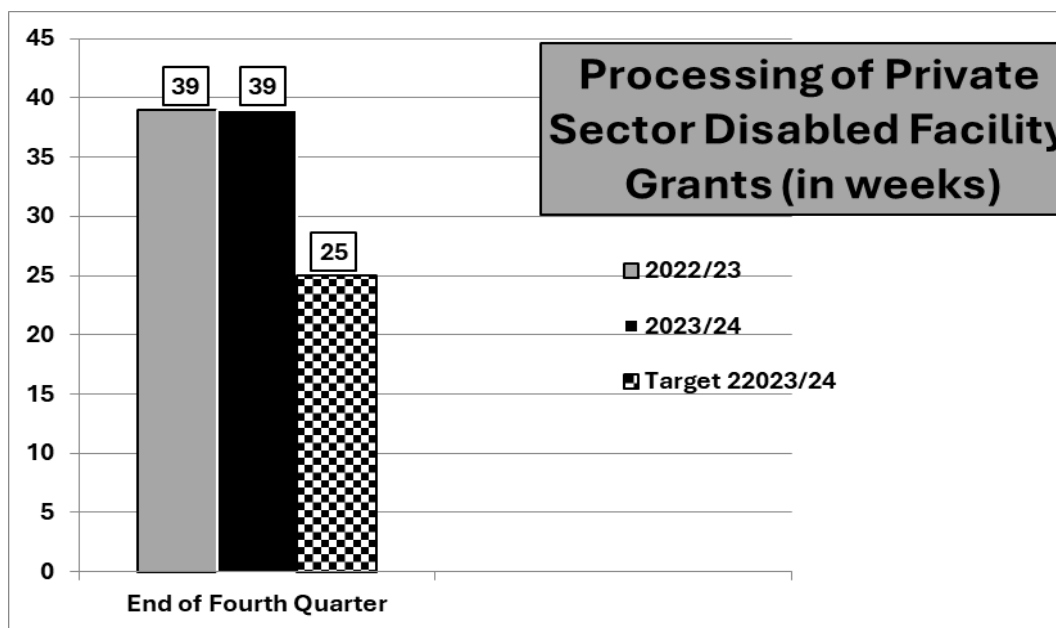


Measure details	End of Fourth Quarter Performance 2023/24 (2022/23)	Comments	Trend
<p>Length of Stay in Bed and Breakfast Accommodation</p>	<p>10 weeks (11 weeks)</p>	<p>The NBBC target of 6 weeks, is based on the Government’s requirement that families with children are not left in B&Bs any longer than 6 weeks. It should be noted however, that not all of our residents in B&Bs are families with children. Where we do need to place a family with children into a Hotel or B&B, we prioritise moving them into alternative available self-contained temporary accommodation at the earliest opportunity.</p> <p>The Council continues to experience high numbers of Homeless presentations requiring temporary accommodation. At the end of April 2024, we had 114 households in temporary accommodation, only 7 of which were in Hotels, 3 of which were families with children.</p> <p>In addition to the lack of social housing available, we also have a situation in the private rented sector that means that our clients are unable to secure private rentals - every property currently being advertised has in the region of 70 applicants, and due to private rent levels, they are largely unaffordable.</p> <p>To mitigate the situation, we continue to direct match 50% of available council housing voids to households in Temporary Accommodation.</p>	<p>☹️</p>

Private Sector Grants & Other Housing Services – (Housing, Environment & Health OSP)

Budget 2023/24	Fourth Quarter Outturn	Comments	Trend
		No financial data is available for the fourth quarter	

Main measure of performance: **Processing Private Sector Disabled Facility Grants**



Measure details	End of Fourth Quarter Performance 2023/24 (2022/23)	Comments	Trend
Processing Private Sector Disabled Facility Grants	39 weeks (39 weeks)	The target for 2023/24 is 25 weeks. Demand is currently in excess of the ability to deliver planned services. A project is being developed that will seek to address the waiting list.	☹️

Private Sector Housing Standards – (Housing, Environment & Health OSP)

Budget 2023/24	Fourth Quarter Outturn	Comments	Trend
		No financial data is available for the fourth quarter	

Main measure of performance: **Removal of Private Sector Property Housing Hazards**



Measure details	End of Fourth Quarter Performance 2023/24 (2022/23)	Comments	Trend
Removal of Private Sector Property Housing Hazards	72 (65)	There are hazards that may occur within housing that the Council has a duty to remove should they be rated as likely to cause injury or ill health using the national rating system. Examples of hazards include slips, trips, and falls, electrical, damp and mould, excess cold, food safety, personal hygiene, sanitation and drainage and entry by intruders. The target for 2023/24 is 60.	😊

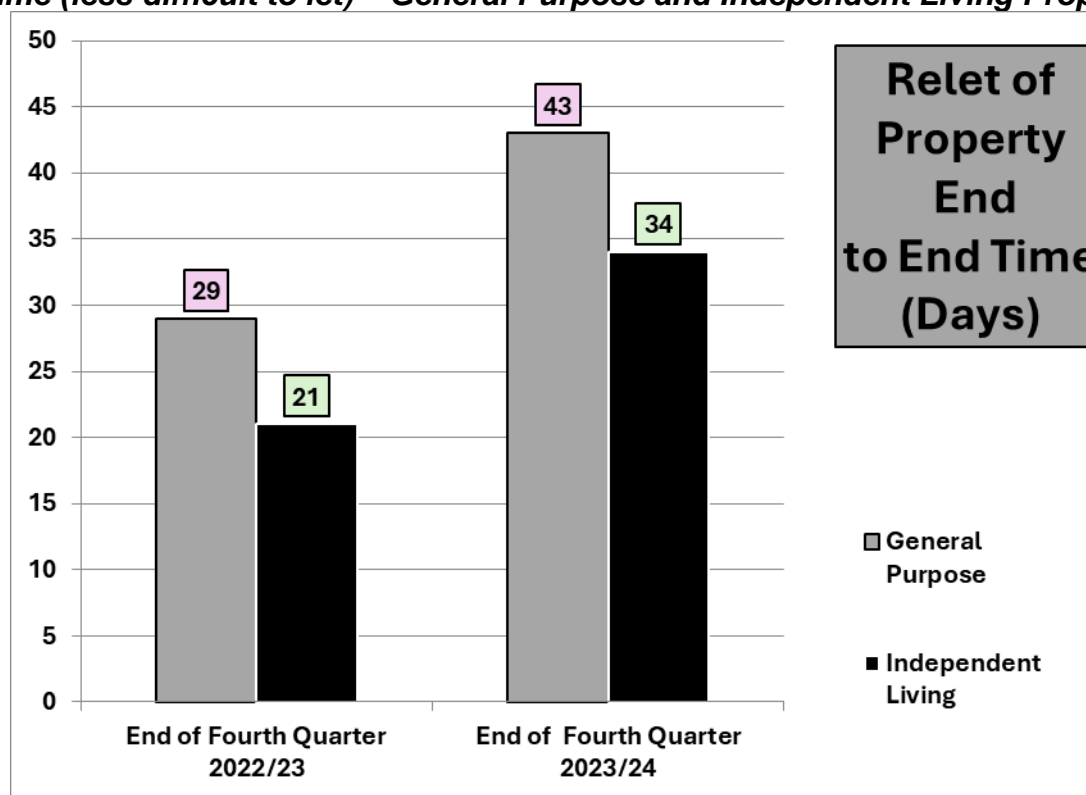
HRA Total – (Housing, Environment & Health OSP)

Budget 2023/24	Fourth Quarter Outturn	Comments	Trend
		No financial data is available for the fourth quarter	

*Main measures of performance: **Rent Collection***

Measure details	End of Fourth Quarter Performance	Comments	Trend indicator
2022/23		Rent Collection data will not be available until the new financial year pending completion of a data quality validation process.	
2023/24			

Relet of Property End to End Time (less difficult to let) – General Purpose and Independent Living Properties

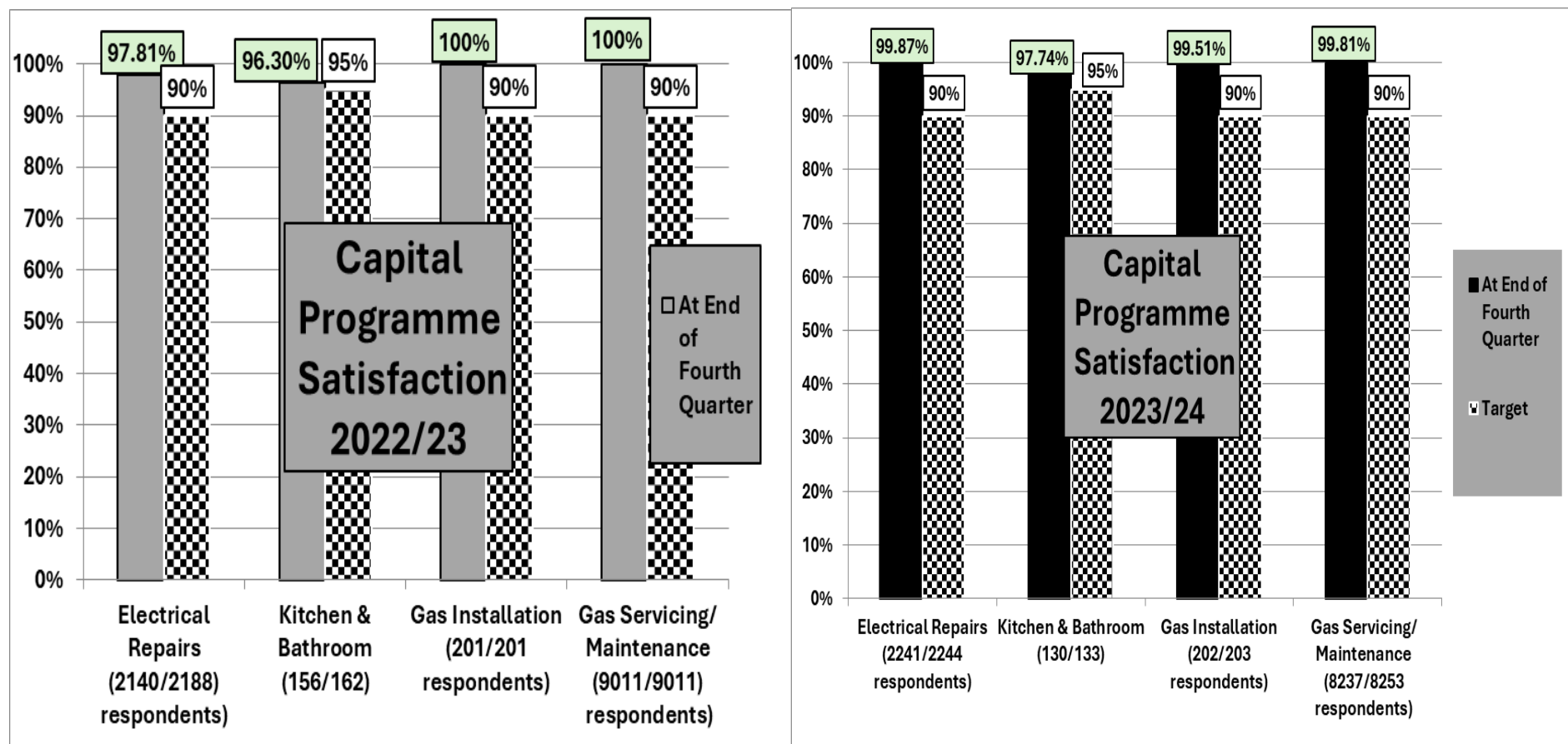



Measure details	End of Fourth Quarter Performance 2023/24 (2022/23)	Comments	Trend indicator
General Purpose	43 days (29 days)	The overall measure for relet property end to end times comprises two measures – one for General Purpose and one for Independent Living properties. No targets are applicable. The figures exclude those properties that are classed as “difficult to let”. During this period, the Choice Based Lettings team had a number of Registered provider (Housing Associations) allocation needs increased in terms of new builds and general allocations, placing a demand on the team to meet our obligation (to give a nomination within 3 working days). There have also been delays due to customers refusing properties, resulting in increased verification checks to allocate the properties - in addition to complex / bereavement cases.	☹️
Independent Living	34 days (21 days)		

HRA CAPITAL – (Housing, Environment & Health OSP)

Budget 2023/24	Fourth Quarter Outturn	Comments	Trend
		No financial data is available for the fourth quarter	

Main measure of performance: **Satisfaction with the Capital Work Programme**



Comments					Trend indicator	
<p>Performance is based on those respondents rating the service as good or better. All data available shows performance above targets. Excellent results in both 2022/23 and 2023/24. The following table provides clarity on the end of fourth quarter satisfaction performance / respondents. Overall response rates are also now included for 2023/24, as requested by the panel:</p>						
Area	2022/23		2023/24			
	Satisfaction Percentage	Satisfaction Respondents	Overall Response Rates	Satisfaction Percentage		Satisfaction Respondents
Electrical Repairs (target 90%)	97.81%	2140 / 2188	2244 / 2412 (93.03%)	99.87%		2241 / 2244
Kitchen and Bathroom (target 95%)	96.30%	156 / 162	133 / 149 (89.26%)	97.74%		130 / 133
Gas Installation (target 90%)	100%	201 / 201	203 / 226 (89.82%)	99.51%		202 / 203
Gas Servicing (target 90%)	100%	9011 / 9011	8253 / 8453 (96.61%)	99.81%	8237 / 8253	

Summary / Exception Reporting:

Financial data – No financial data is available for the fourth quarter.

The performance indicator trend data shows that 3 of the 8 key indicators have improved, 1 has declined, 3 stayed the same and 1 has no trend at end of the fourth quarter 2023/24.

NBBC Strategic Risk Register Summary

Fourth Quarter 2023/24

The total number of 'live' risks is 23.

At the end of the fourth quarter, the breakdown according to net risk is:

"Net red" 2 (9%)
"Net amber" 6 (26%)
"Net green" 15 (65%)

Therefore, 21 (91%) risks are deemed "satisfactorily managed".
Hence, the 'traffic light' reporting position is "Green".

The "net red" risks are:

- R1 - Potential failure to provide adequate accommodation to meet the needs of the borough with consequent impact on the lives of residents
- R4 - Failure to maintain the economic vibrancy of the borough / town centres

Housing, Environment and Health OSP Risks

There are four strategic risks within the remit of the panel. One is "net red" and three are "net green". Details of these risks are shown below.



NBBC Strategic Risk Register

Current Version: 21st May 2024

Housing Environment and Health OSP Risks

Risk Level Indicator Matrix and Descriptors

Key

Green	Green (acceptable)
Amber	Amber (tolerable)
Red	Red (unacceptable)

Likelihood	4	4	8	12	16
	3	3	6	9	12
	2	2	4	6	8
	1	1	2	3	4
		1	2	3	4
		Impact			

Likelihood

- 4: **Very High** – occurrence is most likely or has already happened and will do so again if control measures are not introduced
- 3: **High** – occurrence is anticipated within the next 12 months
- 2: **Significant** – occurrence is probable in the next 3 years
- 1: **Low** – foreseeable, but not probable in the next 3 years

	Level of Impact	Service Delivery	Financial / Legal	Reputation / Community
4	Major	<ul style="list-style-type: none"> • A service delivery failure causes significant hardship to people for a period of 3 to 4 weeks or more or 1 week for anyone that is vulnerable, or failure to meet a nationally mandated deadline • Loss of major stakeholder/partner. • Adverse outcome of a serious regulatory enquiry 	<ul style="list-style-type: none"> • Financial loss over £400,000 • Serious risk of legal challenge 	<ul style="list-style-type: none"> • Sustained adverse TV/radio coverage • Borough wide loss of public confidence • Major damage to local environment, health and economy • Multiple loss of life
3	Serious	<ul style="list-style-type: none"> • A service delivery failure causes significant hardship for a period of 2 to 3 weeks or 3 to 7 calendar days for vulnerable people • Formal regulatory inquiry • Loss of a key partner or other partners 	<ul style="list-style-type: none"> • Financial loss between £200K and £399K • High risk of successful legal challenge 	<ul style="list-style-type: none"> • Significant adverse coverage in national press or equivalent low national TV coverage • Serious damage to local environment, health and economy • Extensive or multiple injuries &/or a fatality
2	Moderate	<ul style="list-style-type: none"> • A service delivery failure causes significant hardship for 1 to 2 weeks or 1 -2 calendar days for vulnerable people • Loss of a significant non-key partner • Legal concerns raised • Loss of employees has moderate effect on service provision 	<ul style="list-style-type: none"> • Financial loss between £50K and £199K • Informal regulatory enquiry 	<ul style="list-style-type: none"> • Significant adverse coverage in local press or regional TV • Large number of customer complaints • Moderate damage to local environment, health and economy • Moderate injuries to an individual
1	Low	<ul style="list-style-type: none"> • Disruption to services for up to 1 week • Minor legal implications • Loss of employees not significantly affecting service provision 	<ul style="list-style-type: none"> • Financial loss up to £49K 	<ul style="list-style-type: none"> • Minor adverse media coverage • Minor environmental, health and economy damage • Minor increase in number of customer complaints • One or more minor injuries to an individual

NET RED RISKS

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
R1	Potential failure to provide adequate accommodation to meet the needs of the borough with consequent impact on the lives of residents	Very High / Major (RED)	1. Housing / Homelessness Strategy.	1: Assistant Director (Strategic Housing)	Very High / Serious (RED)	1. Housing Needs Survey, Strategic Housing Market Assessment, Housing and Economic Development Needs Assessment (HEDNA), Sustainable 30 Year HRA Business Plan.	Strategic Director (H&CS) / PH – H&C and P&R / HEH OSP
			2. Warwickshire Heads of Housing Group (WHOH).	2: Assistant Director (Strategic Housing)		2. Minutes of WHOH meetings.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			3. Affordable Housing Supplementary Planning Document (Borough Plan).	3: Assistant Director (Strategic Housing)		3. Document in place.	
			4. Housing Revenue Account (HRA) Development and Acquisition Strategy.	4: Strategic Director (H&CS)		4. Documents / minutes of meetings.	
			5. Investment Partner status with Homes England.	5: Strategic Director (H&CS)		5. Documents / minutes of meetings.	
			6. Development Team for HRA new builds.	6: Strategic Director (H&CS)		6. Management Team minutes	
			7. Funds identified for HRA Business Plan for acquisitions and new builds.	7: Strategic Director (H&CS)		7. HRA Business Plan	
			8. Nominations agreements with registered providers.	8: Assistant Director (Strategic Housing)		8. Agreement records.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			9. Annual review of HRA Business Plan	9: Strategic Director (H&CS)		9. Approved plan in place.	
			10.Landlord Liaison Officers to support sustainable tenancies in social housing.	10: Assistant Director (Strategic Housing)		10. Landlord Forum minutes and casework.	
			11.Tenancy Support Officer for HRA stock.	11: Assistant Director (Social Housing and Community Safety)		11.Officer in place / casework notes.	
			12.Creation of Homelessness Prevention Team (January 2024).	12: Assistant Director (Strategic Housing)		12.Team in place.	
			13.HRA stock “Right-sizing” Policy and Tenant Liaison Officer established	13: Assistant Director (Strategic Housing) / Assistant Director		13.Policy in place / casework records.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			14.Revised Homelessness Strategy.	14:Assistant Director (Strategic Housing)		14.Strategy in place.	
			Planned:				
			1. HRA / GF development programme.	1: Capital Investment Service Manager / Strategic Director (H&CS)		1. Programmes in place	
			2. Consultation and formulation of a Town Centre Strategy (2024/25).	2: Assistant Director (Economy)		2. Strategy in place	
			3. Review of Borough Plan (Revised plan early 2024, approval and sign-off fully by 2025).	3: Assistant Director (Planning)		3. Publication of revised plan	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			4. Review of Housing Revenue Account Development and Acquisition Strategy.	4: Assistant Director (Social Housing and Community Safety)		4. Elected Member – approved document in place.	
			5.Researching of new initiatives to promote the best use of housing stock (June 2024).	5: Assistant Directors (Strategic Housing) / (Social Housing and Community Safety)		5. Associated research / reports and new policies.	
			6.Review of Housing Strategy (June 2024).	6: Assistant Director (Strategic Housing)		6. Revised strategy in place	
			7.Fundamental review of HRA Business Plan to identify options for increased social housing delivery (March 2024).	7: Strategic Director (H&CS)		7. Revised plan in place	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			8. Up-to-date Strategic Housing Marketing Assessment (SHMA) evidence (in 2024/25).	8: Assistant Director (Planning)		8. Local Plan.	
			9. Creation of Homelessness Prevention Team (January 2024).	9: Assistant Director (Strategic Housing)		9. Team in place.	

NET GREEN RISKS

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
R5	Failure to reduce the fear of crime and disorder.	High /- Serious (RED)	1. Nuneaton and Bedworth Safer Communities Partnership (NABSCOP). Meets monthly. Action points identified & regularly reviewed. Has own Risk Register.	1: Communities and Community Safety Manager	Sig / Moderate (GREEN)	1. Minutes of NABSCOP meetings, including crime performance statistics. External OSP reports.	Strategic Director (H&CS) / PH – H&C / HEH OSP
			2. Police & Crime Commissioner (PCC) grants.	2: Communities and Community Safety Manager		2. Financial accounts (PCC grant receipt and usage). External OSP reports.	
			3. Annual strategic assessment of crime, the level of crime & its impact on the community.	3: Communities and Community Safety Manager		3. Confidential strategic document in place / Minutes of NABSCOP meetings.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			4. Corporate Community safety Group.	4: Communities and Community Safety Manager		4. Minutes of Corporate Community safety Group.	
			5. Anti-Social Behaviour & Harassment Policy / Anti-Social Behaviour Strategy	5: Communities and Community Safety Manager		5. Relevant case management records in Flare system / ASB Case Management Group minutes.	
			6. Communities Officer (anti-social behaviour).	6: Communities and Community Safety Manager		6. Officer in place.	
			7. CCTV coverage.	7: Assistant Director (Economy)		7.CCTV records / British Standard BS7958 Certification / Police Tasking Group minutes.	
			8. Public Space Protection Order (PSPO) relating to begging control.	8: Communities and Community Safety Manager		8. Cabinet meeting minutes.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			9. Dedicated ASB team for Landlord Services.	9: Assistant Director (Social Housing and Community Safety)		9. Performance reports to Director (R&H) and portfolio holder.	
			10. Additional full time Community Safety Officer role within the Council's establishment.	10: Communities and Community Safety Manager		10. Officer in place.	
			<u>Planned:</u>				
			1. Implementation of the serious violence duty strategy (March 2024).	1: Communities and Community Safety Manager		1. Cabinet report / minutes.	
			2. Establish initiatives via the UK Shared Prosperity Fund (SPF) – 3-year plan ends March 2025.	2: Communities and Community Safety Manager		2. Cabinet approval / initiatives in place.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			3.Review capacity within the Community Safety team to ensure appropriate delivery of all initiatives (March 2024).	3: Communities and Community Safety Manager		3. Options identified and presented to Management Team	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
R12	Safeguarding children and adults with care and support needs from abuse, neglect and harm	Significant / Serious (AMBER)	1. Safeguarding Policy and Guidance	1: Assistant Director (Democracy and Governance)	Low / Serious (GREEN)	1. Policy in place and training records.	Strategic Director (E&T) / PH – F&C / HEH OSP
			2. Corporate safeguarding lead officer and single point of contact for Warwickshire Front Door.	2: Assistant Director (Democracy and Governance)		2. Job description and person specification.	
			3. NBBC Recruitment & selection procedure.	3: Strategic Director (E&T)		3. Recruitment records.	
			4. Disclosure & Barring Service policy and checks (DBS).	4: People Services Manager		4. DBS check records.	
			5. Warwickshire Front Door and Adult Social Care (ASC).	5: Assistant Director (Democracy and Governance)		5. NBBC and WCC Website	
			6. Safeguarding refresher training (every 3 years).	6: Assistant Director (Democracy and Governance)		6. Training records ("DELTA").	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			7. Warwickshire Safeguarding partnership best practice guidelines.	7: Assistant Director (Democracy and Governance)		7. Warwickshire Safeguarding website	
			8. Warwickshire Housing safeguarding lead officer.	8: Assistant Director (Strategic Housing)		8. Correspondence / meeting minutes.	
			9. Multi Agency Public Protection Authority (MAPPA).	9: Assistant Director (Strategic Housing)		9. Minutes of meetings.	
			10. Referrals and requests for information (separate ones for Children and Adults).	10: Assistant Director (Democracy and Governance)		10. Referrals and requests records.	
			<u>Planned:</u>				
			1. Update sharing agreement with Warwickshire Front Door/Warwickshire Safeguarding Partnership (June 2024).	1.: Assistant Director (Democracy and Governance)/ Equalities and Safeguarding Officer		1. Revised agreement in place.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			2. Review and update safeguarding guidance / policy (June 2024).	2: Equalities and Safeguarding Officer		2. Updated guidance / policy in place.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
R28	Arson or accidental fire in General Purpose flats and Independent Living Complexes / bungalows / HRA-owned hostels	Significant / Major (AMBER)	1. Fire Management Groups (Operational / Strategic / Governance).	1: Strategic Director (PS)	Low / Major (GREEN)	1. FMG meeting minutes. HASCOG reports.	Strategic Director (H&CS)/ PH – H&C / HEH OSP
			2. Regularly serviced fire detection & alarm systems / fire extinguishers and appropriate Fire Risk Assessments (FRA) regularly reviewed.	2: Assistant Director (Social Housing and Community Safety) /Capital Projects Investment Manager		2. Service records, Fire extinguisher service records & records of FRA outcomes. External report (review of arrangements).	
			3. Regular Health & Safety inspections give attention to fire risks.	3: Assistant Director (Social Housing and Community Safety) /Capital Projects Investment Manager		3. Quarterly Health & Safety inspection records.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			4. Annual Capital Fire Safety Work Programme in Housing Revenue Account stock.	4: Assistant Director (Social Housing and Community Safety) / Capital Projects Investment Manager		4. Cabinet reports and Capital Projects Meeting Minutes.	
			5. External Wall Insulation specification reviewed.	5: Assistant Director (Social Housing and Community Safety) / Capital Projects Investment Manager		5. Property records.	
			6. Maglock doors fitted to communal areas of Independent Living Complexes.	6: Assistant Director (Social Housing and Community Safety) / Capital Projects Investment Manager		6. Doors in place.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			7. Certified fire doors.	7: Assistant Director (Social Housing and Community Safety) /Capital Projects Investment Manager		7. Doors / Certification in place.	
			8:Review of evacuation policy in complexes (signed off January 2023).	8: Assistant Director (Social Housing and Community Safety)		8. Report in place.	
			9. Implementation of housing white paper regulations and other legislation related to fire detection and carbon monoxide detection systems.	9: Capital Projects Investment Manager / Senior Health and Safety Officer (Housing)		9. Effective detection systems in place.	
			10.External risk audit report by insurers (Gallagher Bassett) February 2023.	10: Capital Projects Investment Manager / Senior Health and Safety Officer (Housing)		10.Action plan and MT minutes.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			11. Existing property insurance policy documents (expire 31/12/23).	11: Audit and Governance Manager		11. Policy documents in place.	
			12. Liaison with Warwickshire Fire and Rescue Service Fire Prevention Team.	12: Capital Projects Investment Manager / Senior Health and Safety Officer (Housing)		12. E-mail records and meeting minutes / outcomes.	
			13. On-going fire safety training (internal and external).	13: Capital Projects Investment Manager / Senior Health and Safety Officer (Housing)		13. Training records.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			<u>Planned:</u>				
			1. Implement periodic Internal Audit report recommendations.	1: Head of Safety and Environmental Health			
			2. Act on appropriate recommendations arising from public enquiries / legislation changes (on-going).	2: Strategic Director (H&CS) / Assistant Director (Social Housing and Community Safety) / Head of Safety and Environmental Health			
			3. Review and refresh Business Continuity Plans (September 2024).	3: Strategic / Assistant Directors			
			4. Establish new property insurance policy documents with effect from 1/1/24.	4: Audit and Governance Manager		4. Policy documents in place.	

NBBC Strategic Risk Register Summary

Fourth Quarter 2023/24

The total number of 'live' risks is 23.

At the end of the fourth quarter, the breakdown according to net risk is:

"Net red" 2 (9%)
"Net amber" 6 (26%)
"Net green" 15 (65%)

Therefore, 21 (91%) risks are deemed "satisfactorily managed".

Hence, the 'traffic light' reporting position is "Green".

The "net red" risks are:

- R1 - Potential failure to provide adequate accommodation to meet the needs of the borough with consequent impact on the lives of residents
- R4 - Failure to maintain the economic vibrancy of the borough / town centres

Finance and Public Services OSP Risks

There are fifteen strategic risks within the remit of the panel. Four are "net amber" and eleven are "net green". Details of these risks are shown below.



NBBC Strategic Risk Register

Current Version: 21st May 2024

Finance and Public Services OSP Risks

Risk Level Indicator Matrix and Descriptors

Key

Green	Green (acceptable)
Amber	Amber (tolerable)
Red	Red (unacceptable)

Likelihood	4	4	8	12	16
	3	3	6	9	12
	2	2	4	6	8
	1	1	2	3	4
		1	2	3	4
		Impact			

Likelihood

- 4: **Very High** – occurrence is most likely or has already happened and will do so again if control measures are not introduced
- 3: **High** – occurrence is anticipated within the next 12 months
- 2: **Significant** – occurrence is probable in the next 3 years
- 1: **Low** – foreseeable, but not probable in the next 3 years

	Level of Impact	Service Delivery	Financial / Legal	Reputation / Community
4	Major	<ul style="list-style-type: none"> • A service delivery failure causes significant hardship to people for a period of 3 to 4 weeks or more or 1 week for anyone that is vulnerable, or failure to meet a nationally mandated deadline • Loss of major stakeholder/partner. • Adverse outcome of a serious regulatory enquiry 	<ul style="list-style-type: none"> • Financial loss over £400,000 • Serious risk of legal challenge 	<ul style="list-style-type: none"> • Sustained adverse TV/radio coverage • Borough wide loss of public confidence • Major damage to local environment, health and economy • Multiple loss of life
3	Serious	<ul style="list-style-type: none"> • A service delivery failure causes significant hardship for a period of 2 to 3 weeks or 3 to 7 calendar days for vulnerable people • Formal regulatory inquiry • Loss of a key partner or other partners 	<ul style="list-style-type: none"> • Financial loss between £200K and £399K • High risk of successful legal challenge 	<ul style="list-style-type: none"> • Significant adverse coverage in national press or equivalent low national TV coverage • Serious damage to local environment, health and economy • Extensive or multiple injuries &/or a fatality
2	Moderate	<ul style="list-style-type: none"> • A service delivery failure causes significant hardship for 1 to 2 weeks or 1 -2 calendar days for vulnerable people • Loss of a significant non-key partner • Legal concerns raised • Loss of employees has moderate effect on service provision 	<ul style="list-style-type: none"> • Financial loss between £50K and £199K • Informal regulatory enquiry 	<ul style="list-style-type: none"> • Significant adverse coverage in local press or regional TV • Large number of customer complaints • Moderate damage to local environment, health and economy • Moderate injuries to an individual
1	Low	<ul style="list-style-type: none"> • Disruption to services for up to 1 week • Minor legal implications • Loss of employees not significantly affecting service provision 	<ul style="list-style-type: none"> • Financial loss up to £49K 	<ul style="list-style-type: none"> • Minor adverse media coverage • Minor environmental, health and economy damage • Minor increase in number of customer complaints • One or more minor injuries to an individual

NET AMBER RISKS

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
R9	Failure to effectively manage Health, Safety & welfare arrangements to limit the potential for accidents and financial penalties	High / Major (RED)	1. Health and Safety Co-ordinators Group (HASCOG).	1: Assistant Director (Environment and Enforcement)	Significant / Major (AMBER)	1. HASCOG minutes.	Strategic Director (PS) / PH – F&C / FPS OSP
			2. Health & Safety policies & procedures.	2. Head of Safety and Environmental Health		2. HASCOG minutes.	
			3. Risk assessments and safe systems of work.	3: Strategic /Assistant Directors		3. HASCOG minutes and review / audit of NSHARE.	
			4. Mandatory Health & Safety training.	4: Head of Safety and Environmental Health		4.Training Records	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			5. Designated Corporate Health and Safety Officer.	5: Head of Safety and Environmental Health		5. Officer in place.	
			6. Compliance software system (NSHARE).	6: Head of Safety and Environmental Health		6. System in place.	
			7. Regular effective assurance reporting to Management Team.	7: Strategic Director (P&S)		7. Management Team reports and minutes.	
			8. Annual statement for Health and Safety assurance.	8: Assistant Director (Environment and Enforcement) / Head of Safety and Environmental Health		8. Audit and Standards Committee minutes.	
			9. Assistant Directors quarterly Health and Safety strategic meeting.	9: Strategic Director (P&S)		9. Meeting minutes.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			10. External risk review of Health and Safety arrangements (January 2023) and formulate revised action plan.	10: Strategic Director (P&S / Head of Safety and Environmental Health		10. Risk consultancy report.	
			Planned:				
			1. Fully implement new compliance software system in 2024/25 (NSHARE).	1: Head of Safety and Environmental Health		1. I.T. system fully implemented.	
			2.A transformation review / report on the requirements for Corporate Health and Safety to Management Team (May 2024)	2: Strategic Director (P&S)		2. Management Team report / minutes.	
			3. Review of HASCOG terms of reference and attendance by operational team members (May 2024).	3: Assistant Director (Environment and Enforcement)		3. HASCOG minutes.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			4.Revised Health and Safety policies to be presented to Management Team / HASCOG May 2024).	4: Head of Safety and Environmental Health		4. Individual Cabinet Member decision by portfolio holder.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP	
R16	"Cyber" crime or attack	High/ Major (RED)	1. Anti-virus, managed firewall, security patches and robust back-up procedure updated weekly.	1: ICT Client Manager	Significant / Major (AMBER)	1. PSN certification in place	Strategic Director (E&T) / PH – F&C / FPS OSP	
			2. Awareness training sessions held throughout the year.	2: Strategic Director (E&T)				2. Training programme and attendance records.
			3. Monthly e-communication from Cyber Crime Officer (WCC).	3: Strategic Director (E&T)				3. Monthly e-communication.
			4. Public Services Network (PSN) annual compliance certification.	4: ICT Client Manager				4. PSN certification in place
			5. Post "Azure" migration, LGA cyber security peer review to be undertaken (December 2023).	5: ICT Client Manager				5. Peer review report.

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			6.Phishing e-mail testing of staff to identify and action training requirements (February and March 2024).	6: ICT Client Manager		6.Tests undertaken and training identified.	
			Planned:				
			1. "Cyber Essentials" certification application to be resubmitted pending Cyber security and risk review (2024/25, subject to upgrade of Electoral Registration software).	1: ICT Client Manager		1. Certificate in place.	
			2. Test internal e-mail security (on-going).	2: ICT Client Manager		2. Report to Management Team.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			3.Access to Electoral Registration database to be addressed (linked to Central Government elections “cyber” security threat briefing).	3:Head of Elections		3.Review completed with access arrangements in place and monitored at least annually.	
			4.Review of maintenance, access, storage and disposal of shared files containing electoral data.	4:Head of Elections		4:Review completed / records.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
R20	Pandemic – service, social and economic implications	Very High/ Major (RED)	1. Corporate Business Continuity Plan.	1: Chief Executive	Significant / Major (AMBER)	1. Plan in place.	Management Team / PH - Cabinet / FPS OSP
			2. Business Continuity Plans (BCP).	2: Assistant Directors		2: Plans in place.	
			3. Emergency Plan including regular training.	3: Strategic Director (E&T)		3. Plan in place / training records.	
			4. Risk assessment in place to address and co-ordinate the safe delivery of (revised) services / working arrangements.	4: Head of Health and Safety and Environmental Health		4. Risk assessment in place.	
			5. Pandemic response and recovery: <ul style="list-style-type: none"> Incident Management Team Implement responsibilities linked to Civil Contingencies Act 	5: Chief Executive		5. Terms of reference / meeting minutes:	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			6. Implement directives from Central Government, as required.	6: Chief Executive		6. Regular completion of pro forma returns to Government.	
			7. Effective and timely communication systems (employees, Elected Members, public and media).	7: Chief Executive		7. E-mail and public / media communications / bulletins.	
			8. Encourage employees to take up vaccination offers.	8: Chief Executive		8. Employee newsletters and bulletins.	
			<u>Planned:</u>				
			1. Update Emergency / Business Continuity Plans (September 2024).	1: Management Team		1. Plans in place.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
R25	<p>Noncompliance with regulations relating to :</p> <ul style="list-style-type: none"> Freedom of Information Environmental Information General Data Protection <p>resulting in penalties applied by the Information Commissioner's Office</p>	Very high / major (RED)	<u>Freedom of Information / Environmental Information</u>		Significant / major (AMBER)		Management Team / PH – F&C / FPS OSP
			1.Monthly FOI reports to designated service areas.	1: Customer Experience Officer		1.Reports.	
			2.Dash Customer Service Workflow application used to manage outstanding cases.	2: Strategic Director (E&T)		2.Dash application.	
			3.Email alerts on receipt of new requests.	3: Strategic Director (E&T)		3.Emails.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			4.Nominated officers in some service areas to monitor outstanding requests.	4: Chief Executive / Strategic Directors		4.Nominated Officers.	
			5.Workflow process regularly reviewed and updated if necessary	5: Information Management Group (IMG)		5.Request reports.	
			6. Regular targeted training on meeting FOI request deadlines.	6: Information Management Group (IMG)		6.Training records.	
			7. Nominated employees to monitor and manage FOI / EIR requests.	7: Strategic Director (E&T)		7. Officer in place.	
			8. Qualified DPO co-ordinating information in line with the Freedom of Information Act 2000	8: Strategic Director (E&T)		8. Officer in place.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			<u>Planned:</u>				
			1.Refresher training for Senior Managers (September 2024).	1: Assistant Director (Central Operations)		1.Senior Management Team minutes / training records.	
			<u>General Data Protection Regulations (GDPR)</u>				
			1. Corporate Information Governance Group (CIGG) / Information Management Group.	1: Audit & Governance Manager		1.Meeting minutes.	
			2. Use of an accredited contractor to dispose of electrical equipment (including IT equipment). The contractor guarantees data destruction & provides certification accordingly.	2: Strategic Director (E&T)		2. Contractor agreement and meetings minutes	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			3. Compliance with Public Services Network Code of Connection (PSN Co-Co).	3: Strategic Director (E&T)		3. Annual PSN Compliance Certification / "Cyber Essentials Scheme" certification.	
			4. Senior Information Risk Owner (SIRO) and Deputy appointed.	4: Strategic Director (E&T)		4. SIRO's Job Description	
			5. Information Governance Framework/ ICT Code of Conduct for Employees/Member Protocol for the Use of IT Resources.	5: Audit and Governance Manager.		5. Individual Cabinet Member Decision	
			6. Appointment of Data Protection Officer (DPO) in line with Data Protection regulations.	6: Audit and Governance Manager.		6. DPO in place.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			7. Data audit and publication of privacy notices.	7: Audit and Governance Manager.		7. Audit records (records of processing activity)/notices on council website.	
			8. External Audit undertaken (Information Security Advice Limited).	8: Audit and Governance Manager.		8. Report in place.	
			9. Data Protection training available on Delta.	9: DPO and Training Officer		9. Delta training records	
			10. Refresh of Corporate Governance Group (CGG) / Information Management Group (October 2023) – including monitoring of data breach reports.	10: Assistant Director (Democracy and Governance) / DPO		10.Meetings minutes	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			Planned:				
			1. Data Protection policy to be updated (September 2024).	1: DPO		1. Policy approved.	
			2. Data Protection information to be made available to employees via the new Intranet when available (September 2024).	2: DPO		2. Intranet.	
			3. Information Asset Register to be established (timescale to be agreed with Information Management Group).	3: DPO / Information asset owners		3. Register in place.	
			4. Data protection and Freedom of Information Act training for Senior Managers (on-going).	4: DPO		4. Senior Management meeting records.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			5. Data Protection training to be reviewed to ensure that it is up to date and appropriate (ongoing).	5: DPO and Training Officer		5. Delta training records.	

NET GREEN RISKS

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
R3	A major NBBC contractor or supplier cannot deliver a service as planned or ceases trading / failure to comply with requirements for procuring goods and services	Significant / Major (AMBER)	1. Legally binding contract documentation.	1: Assistant Director (Democracy and Governance)	Low / Major (GREEN)	1. Tender documents, contract conditions and legal documentation.	Management Team / PH – F&C / FPS OSP
			2. Contract monitoring activities.	2: Assistant Directors		2. Minutes of meetings with contractors.	
			3. Procurement process that is in place and regularly reviewed as defined by contract procedure rules. On-going supplier monitoring including credit check.	3: Assistant Director (Democracy and Governance)		3. Latest version of Contract Procedure Rules.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			4. On-going financial check (key contracts).	4: Assistant Director (Democracy and Governance)		4. Records of processed invoices.	
			5. In-house Corporate Governance training.	5: Audit & Governance Manager		5. Records of in-house governance training.	
			6. Internal audit.	6: Audit & Governance Manager		6. Internal Audit reports.	
			7. External legal advice.	7: Legal Services Manager		7. Records of legal advice.	
			8. Designated Strategic Procurement Team.	8: Strategic Director (F&G)		8. Team in place / training and contract support records.	
			9. Pay suppliers promptly to aid cash flow.	9: Strategic Director (F&G)		9. Regular payments performance reports.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			10. Contractors required to provide Parent Company Guarantee &/or performance bond, as required.	10: Strategic Director (F&G)		10.Tender documents, contract conditions and legal documentation	
			11. Compliance with Cabinet Office Public Procurement Policy Notes (PPNs).	11: Assistant Director (Democracy and Governance)		11. Creditors and Procurement records.	
			12.On-going monitoring of supply market and volatility.	12: Assistant Director (Democracy and Governance)		12. Minutes of Corporate Governance Group.	
			<u>Planned:</u>				
			1.Contract management training (July 2024).	2: Assistant Director (Democracy and Governance)		1. Training records.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
R7	Breakdown of Council services due to an emergency or significant incident.	Low/Major (AMBER)	1. Corporate Business Continuity Plan.	1: Management Team	Low/ Serious (GREEN)	1. Plan in place.	Chief Executive and Strategic Director (E&T) / PH - Leader & Cabinet / FPS OSP
			2. Emergency Plan including regular training.	2: Management Team		2: Plan in place.	
			3. Shared service Emergency Planning Officer in place.	3: Strategic Director (E&T)		3. Joint Emergency Planning Officer (JEPO) two-year work streams plan.	
			4. Flexibility of working at Town Hall or Gresham Road Depot.	4: Strategic Director (E&T)		4. Availability of locations.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			5. People Services Manager appointed as strategic lead officer for emergency planning.	5: Strategic Director (E&T)		5. Officer in post.	
			6. Business Continuity Planning policy.	6: Strategic Director (E&T)		6. Policy in place.	
			7. Updated Emergency Plan.	7: Strategic Director (E&T) and Joint Emergency Planning Officer (shared service)		7. Plan in place.	
			8. "Cloud"-based service have replaced server rooms in council buildings.	8: Director (C&CS) and Joint Emergency Planning Officer (shared service)		8. Service in place.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			9. On-going Strategic and Assistant Directors attending Warwickshire Local resilience Forum (WLRF) training on Civil Contingencies Act responsibilities.	9: Chief Executive		9. Training records held by WLRF.	
			<u>Planned:</u>				
			1. Update Business Continuity Plans (September 2024).	1: Strategic Directors			
			2. On-going engagement with regional representatives to explore options to mitigate national power outages.	2: Strategic Director (E&T)			
			3. Training sessions on new Emergency Plan by end of September 2024.	3: Strategic Director (E&T)			

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
R10	Failure to effectively manage the Council's finances	V. High / Serious (RED)	1. Regular monthly monitoring of budgets including Cabinet reporting.	1: Management Team	Low / Moderate (GREEN)	1 & 6. Strategic Performance Management Report to Management Team and Scrutiny panels / Corporate Governance Group minutes.	Chief Executive & Strategic Director (F&G) – Section 151 Officer / PH – F&C / FPS OSP
			2. Adequate level of reserves held to manage fluctuations. Section 151 assurance statement on budget proposals.	2: Management Team		2. Reserves maintained and kept under review / S151 Officer's annual Assurance Statement on reserves.	
			3. Housing Revenue Account Business Plan.	3: Management Team		3. Internal / External audit / annual Cabinet report.	
			4. Updated Medium-Term Financial Plan.	4: Management Team		4. Cabinet / Full Council minutes.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			5. Strategic Risk Register maintenance and review.	5: Management Team		5. Document controlled Strategic Risk Register.	
			6. Financial and HRA risk assessments.	6: Management Team		6. HRA Business Plan and budget reports.	
			7. Effective / robust internal and external audit.	7: Management Team		7. Audit reports.	
			8. Quarterly reporting to Audit and Standards Committee.	8: Management Team		8. Audit and Standards Committee reports.	
			9. Financial and contract procedure rules and associated regular training.	9: Management Team		9. Internal / External audit reports / training records.	
			10. Budget holder training for officers and Elected Members.	10: Management Team		10. Training records.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			11. Level of reserves reviewed as part of annual budget setting process.	11: Strategic Director (F&G)		11. Cabinet report.	
			12. Adherence to CIPFA Financial Management Code.	12: Strategic Director (F&G)		12. Self-assessment document.	
			13. Section 151 Officer in post.	13: Chief Executive		13.Member-led appointment process.	
			14. Ensure the Council maintains the latest version of financial software (Agresso)	14: Strategic Director (F&G)		14.Software in place.	
			15. Migration of Revenues & Benefits System using cloud-based technology.	15: Strategic Director (F&G)		15.Migration completed.	
			16. NDR Refunds - Valuation Office Agency provisions in place.	16: Strategic Director (F&G)		16. Refunds applied.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			17.Warwickshire Business Rates Pool	17: Strategic Director (F&G)		17. County Council regular reports.	
			18.Multi-year capital budget and funding monitoring (in February).	18: Strategic Director (F&G)		18.Cabinet / Council reports.	
			<u>Planned:</u>				
			1.Thorough review of HRA Business Plan in 2024/25.	1: Strategic Directors (F&G) & (H&CS)		1.New plan in place / Cabinet report / minutes.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
R11	Nuneaton and Bedworth Community Enterprises Ltd. (NABCEL) gives rise to unplanned liabilities	Significant / Serious (AMBER)	1. NABCEL Board.	1:NBBC Strategic Directors / Shareholder Committee	Low / Moderate (GREEN)	1. Board meeting papers & minutes.	Management Team / PH - Leader / FPS OSP
			2. Articles of Association adopted.	2: NBBC Strategic Directors / Shareholder Committee		2.Articles of association	
			3. Each new business activity for NABCEL is supported by a robust business case that must be approved by the NABCEL Board.	3: NBBC Strategic Directors / Shareholder Committee		3.Business cases / Cabinet minutes.	
			4. Appropriate and effective policies and procedures are in place and budgets are monitored regularly.	4: NBBC Strategic Directors / Shareholder Committee		4. Policies located in records management system and budget monitoring.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			5. Appropriate insurance cover in place.	5: NBBC Strategic Directors / Shareholder Committee		5. Insurance certification.	
			6. External accounting support.	6: NBBC Strategic Directors / Shareholder Committee		6. External Account reports.	
			7.NABCEL Internal Audit.	7: NBBC Strategic Directors / Shareholder Committee		7. NABCEL Internal Audit reports.	
			8. Shareholder agreement / committee.	8: NBBC Strategic Directors / Shareholder Committee		8. Shareholder agreement record / minutes of Shareholder Committee meetings.	
			9. Shareholder board member training.	9: NBBC Strategic Directors / Shareholder Committee		9. Training records.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			10. Effective senior management arrangements in place.	10: NBBC Strategic Directors / Shareholder Committee		10. New structure implemented.	
			11. Three-year Business Strategy.	11: NBBC Strategic Directors / Shareholder Committee		11. Strategy in place. Annual review completed.	
			12. Five-year Business Plan.	12: NBBC Strategic Directors / Shareholder Committee		12. Business Plan in place. Annual review completed.	
			13. Annual review of Business Strategy and Business plan.	13: NBBC Strategic Directors / Shareholder Committee		13. Updated Strategy and Plan in place.	
			14. Regular performance review.	14: NABCEL Board Chair		14. NABCEL Board minutes.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			15. External audit of NABCEL (on-going).	15:NABCEL Board Chair		15. Audit report.	
			<u>Planned:</u>				
			1. Implement appropriate recommendations for NABCEL governance structure (August 2024).	1: Strategic Director (E&T)		1. External report.	
			2. Review growth model and establish a financial strategy (Quarter 2, 2024/25).	2: Strategic Director (F&G)		2. Plan in place.	
			3. Business Case reviewed (on-going)	3: Strategic Director (E&T)		3. Approved Business Case in place.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
R15	Insufficient planning or resourcing of capital investment priorities	Significant / Serious (AMBER)	1. Corporate / Strategic programme management arrangements.	1: Chief Executive	Low / Moderate (GREEN)	1. Minutes of meetings (including Strategic / HRA / ITC / Regeneration / Corporate Asset Management programme boards).	Management Team / PH - Cabinet / FPS OSP
			2. Asset Management Plan & Capital Strategy (5 years).	2: Strategic Director (F&G)		2. Finance Manager and Strategic Director (E&T) / 3, 6 & 10. Cabinet reports.	
			3. Housing Revenue account (HRA) Business Plan	3: Strategic Directors (H&CS) and (F&G)		3. Plan and dedicated Finance Business Partner in place.	
			4. Medium Term Financial Plan including regular review.	4: Strategic Director (F&G)		4. Plan in place.	
			5. Acquisitions and Disposal Programme.	5: Strategic Director (E&T)		5. Programme in place.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			6. Internal audit programme.	6: Head of Audit and Governance		6. Audit reports.	
			7. Treasury Management Strategy and Prudential Indicators	7: Strategic Director (F&G)		7. Strategy in place / Council minutes.	
			8. Regular reporting on the multi-year Capital programme.	8: Strategic Director (F&G)		8. Reports.	
			9. WMCA funding for land remediation.	9: Strategic Director (E&T)		9. Funding received.	
			10. "Future High Streets" funding agreed.	10: Strategic Director (E&T)		10. Monitoring and evaluation returns and programme board minutes	
			11. "Towns Fund" funding agreed.	11: Strategic Director (E&T)		11. Funding agreement in place. Corporate programme strategic board minutes.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			12. Monthly WMCA engagement meetings.	12: Assistant Director (Regeneration)		12. Meeting minutes / funding applications.	
			13. HRA Governance group to review operational and financial management.	13 Strategic Director (H&CS)		13. Meeting minutes.	
			14. Annual General Fund / HRA budget setting (3 year budget process).	14: Strategic Director (F&G)		14. Cabinet meeting minutes.	
			15. Budget monitoring.	15: Management Team (MT)		15. MT reports / minutes.	
			16. Programme management arrangements.	16: Management Team		16. MT reports / minutes.	
			17. Investment plan agreed with The Department for Levelling Up Housing and Communities (DLUHC) under the "Pathfinder" programme.	17: Strategic Director (P&E)		17. Agreement in place.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			<u>Planned:</u>				
			1. Revised HRA Asset Management Plan (September 2024).	1: Assistant Director (Social Housing and Community Safety)		1. Plan in place.	
			2. Review and update Capital Strategy (January 2025).	2: Strategic Director (E&T)		2. Document in place and adopted.	
			3. Review and update of the HRA Business Plan (January 2025).	3: Strategic Directors (F&G) and (H&CS)		3. Revised plan in place.	
			4. Acquisition and Disposal programme to be monitored by Corporate Governance Group (on-going).	4: Assistant Director (E&T)		4. Corporate Governance Group meeting minutes.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
R22	Failure to deliver sub-regional recycling facility in partnership with other authorities	Low / Very High (GREEN)	1. "Arm's length" company (Sherbourne Resources Ltd.) in place with Director (PS) on the board.	1: Strategic Director (PS)	Low / Very High (GREEN)	1.Memoranda and articles (Company House).	Strategic Director (PS) / PH – PS / FPS OSP
			2.Experienced consultants as part of project delivery team (Accountant, Solicitor, Civil Servants and Quantity Surveyor).	2: Strategic Director (PS)		2. Project management team in place / project records.	
			3.Detailed Business Case with stress-testing of assumptions (Assessed and approved by partner authority Section 151 officer).	3: Strategic Director (PS)		3.Business Case in place / Council reports.	
			4.Experienced / qualified external project management team in place.	4: Strategic Director (PS)		4. Project records / board meeting minutes.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			5.Elected Member Shareholder panel established to oversee project plan.	5: Cabinet member for Public Services		5.Panel reports and minutes.	
			6.Finance and Operational bi-monthly meetings with partners and project team.	6: Strategic Directors (PS) and (F&G)		6.Regular meetings and reports to specific working groups with Sherbourne Resources Ltd.	
			7.Construction of site completed and Sherbourne Resources Ltd. Running the facility.	7: Strategic Director (PS)		7.Regular reports to Sherbourne Resources Ltd. Board.	
			8. Bi-monthly meeting of Sherbourne Resources Ltd. Board.	8; Strategic Director (PS)		8.Minutes of meetings and regularly updated project risk register.	
			9. Annual audit of accounts independently arranged by partners.	9: Strategic Directors (PS) and (F&G)		9.Audit report.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			10.Monitoring of supply, construction and market issues.	10: Strategic Directors (PS) and (F&G)		10.Accounts records / Finance meeting minutes. Update to OSP in March 2024.	
			11. On-going site visits by officers to monitor progress.	11: Strategic Directors (PS) and (F&G)		11. OSP reports.	
			12. Finances and a request for an additional loan approved by Cabinet.	12: Strategic Directors (PS) and (F&G)		12: Cabinet meeting minutes.	
			13.NBBC materials now being delivered to Sherbourne Resources Ltd. site.	13: Strategic Director (PS) and Head of Waste and Transport		13. Cabinet meeting minutes.	
			14.Reconfiguration of refuse rounds for mixed recycling completed (September 2023).	14:Strategic Director (PS) and Head of Waste and Transport		14.Cabinet meeting minutes / media press releases.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			Planned:				
			1.Assessment of recycling material from NBBC residents monitoring by Sherbourne Resources Ltd. (April 2024)	1. Assistant Director (Environment and Enforcement) and Head of Waste and Transport		1.Monthly reports from Sherbourne Resources Ltd).	
			2.Sherbourne Resources Ltd. to commence loan repayments to NBBC (September 2024).	2: Strategic Directors (PS) and (F&G)		2.Loan repayment budget monitoring.	
			3. Annual reviews of the recycling facility to Cabinet.	3: Assistant Director (Environment and Enforcement)		3. Cabinet report / minutes.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
R23	Communications - disruptive adverse comment or media coverage reflecting extremely badly on the Council, impacting on the reputation of the Council and/or the Borough, resulting from failure to take appropriate communications action	Low / Moderate (GREEN)	1. Communications and marketing strategy, associated protocols and plans.	1: Corporate Comms. and Marketing Manager	Low / Moderate (GREEN)	1. Press releases, training, communications and marketing action plan; media statements; Media monitoring.	Strategic Director (E&T) / PH - Cabinet / FPS OSP
			2. Media training for Directors.	2: Strategic Director (E&T) / Assistant Director (Central Operations)		2. Training records.	
			3. LGA social media training for Elected Members.	3: Chief Executive		3. Training delivered in January 2022	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			<u>Planned:</u>				
			1. Periodic media training for Elected Members and Senior Managers (ongoing).	1: Corporate Comms. and Marketing Manager		1. Training records.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
R26	Non-compliance with Department of Work and Pensions (DWP) data use guidelines.	High / Serious (AMBER)	1. On-going system testing linked to DWP plan.	1:Strategic Director (F&G)	Low / Low (GREEN)	1. DWP plan.	Strategic Director (F&G) / PH – F&C / FPS OSP
			<u>Planned:</u>				
			1.On-going audit of DWP Plan.	1: Assistant Director (Finance and Governance)		1.Audit logging records.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
R29	Human Resources (HR) – failure to effectively manage workforce planning / comply with legislation and policies	Low / Serious (GREEN)	1.Advisory Conciliation and Arbitration Service (ACAS) code of practice and legislation.	1:Assistant Director (Central Operations) / People Services Manager	Low / Serious (GREEN)	1.Approved policies in place.	Chief Executive (Head of Paid Services) / F&C / FPS OSP
			2.Up-to-date HR policies and procedures subject to regular review and developed in consultation with trade unions.	2: Assistant Director (Central Operations) / People Services Manager		2.Regular alerts from designated bodies / Policies in place.	
			3.Appropriate training on HR policies and procedures.	3: Assistant Director (Central Operations) / People Services Manager		3.Training records.	
			4.Change Management Policy	4: Assistant Director (Central Operations) / People Services Manager / service managers.		4.Management Team minutes.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			5. Regular review of employee remuneration levels.	5: People Services Manager		5.Report to Remuneration Panel and Employee Committee.	
			6.Strategic Workforce Planning training (March 2024).	6: People Services Manager / Assistant Directors.		6.Training records	
			<u>Planned:</u>				

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
R30	Ombudsman Complaints (Local Government Ombudsman / Housing Ombudsman) – failure to meet customer expectation after completion of our complaints process	High / Low (GREEN)	1. Formal complaints policy and process.	1: Customer Experience Officer	High / Low (GREEN)	1. Policy and procedure in place.	Strategic Director (E&T) / F&C / FPS OSP
			2. Designated Customer Experience Officer.	2: Customer Experience Officer		2. Designated Customer Experience Office. in place	
			3. Review / Final check of service area escalated responses.	3: Customer Experience Officer		3. Review records retained.	
			4. Ombudsman monitoring by Management Team (Strategic Performance Report).	4: Management Team		4. Strategic Performance Report.	

Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
			5. Annual Ombudsman report to Scrutiny panel.	5: Customer Experience Officer		5. FPS meeting minutes.	
			<u>Planned:</u>				

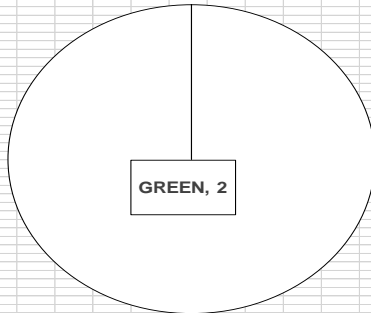
Risk Ref	Risk Description	Gross Risk	Mitigation Control Existing / Ongoing	Mitigation Owner	Net Risk / Status	Sources of Assurance	Risk Owner / Portfolio (PH) / OSP
R 31	Modern Slavery and Human Trafficking – failure to effectively monitor and comply with legislation	Low /Major (GREEN)	1. Annual modern slavery statement (including policies and training).	1: Assistant Director (G&D) / Head of People and Culture	Low /Major (GREEN)	1. Cabinet minutes / Modern Slavery Statement Register.	Management Team / PH – F&C / FPS OSP
			2. Qualified officers in post (Human Resources & Procurement).	2: Assistant Director (G&D) / Head of People and Culture		2. Officers in post.	
			3. Raising awareness with Elected Members.	3: Strategic Director (F&G) / Assistant Director (G&D)		3. Cabinet minutes / Corporate Governance Training.	
			4. Procurement procedures including Modern Slavery questions as part of the tender process – including contract terms and conditions.	4: Assistant Director (G&D)		4. Contract procedure rules and monitoring and review of tender templates	
			5. Specific Modern Slavery e-learning training module for senior officers.	5: Assistant Director (G&D) / Head of Audit and Governance / Head of People and Culture		5. Training records.	

Strategic Performance Report – Executive Summary April 2024

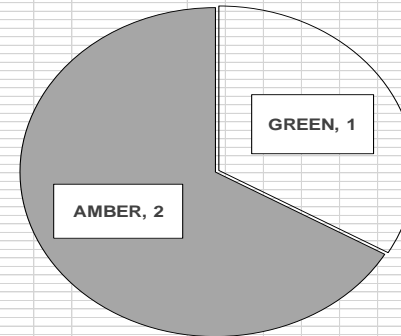
(Data as at the end of March 2024)

Charts Summary

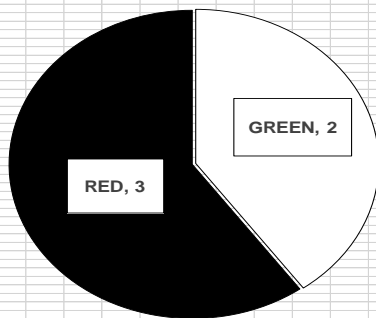
1. FINANCE



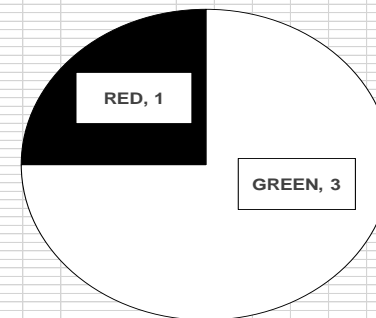
2. PEOPLE AND SERVICE DELIVERY (P&SD)



3. PROCESSES



4. IMPROVEMENT



RED AND AMBER MEASURES BY CATEGORY *		
CATEGORY	RED	AMBER
FINANCE	0	0
P & S D	0	2
PROCESSES	3	0
IMPROVEMENT	1	0

* = see Executive Summary narrative (areas for improvement).

Strategic Performance Report – Executive Summary April 2024

(Data as at the end of March 2024)

Positive Aspects (Chart reference shown in brackets)

- **Processing of new benefits claims** is 21.43 days against the 22 days good performance benchmark (compared to 23.44 days in March 2023)
- **The percentage of invoices paid on time** is 97.46% at the end of March - well within the target range of 95 – 100% and compared to 95.92% in March 2023
- **Agency staff spend** is £779,066 as at the end of March compared to £1,116,259 at the end of March 2023:

General Fund	General Fund	£	548,548
HRA	HRA	£	230,518
Total	Total	£	779,066

This is netted against an estimated (£2,273K) salary underspend, creating a NET underspend of (£1,494k) across the general fund and HRA budgets.

	Underspend	Net Underspend
General Fund	- 1,630K	- 1,082K
HRA	- 643K	- 412K
Total	- 2,273K	- 1,494K

The top three cost areas are:

DEVELOPMENT CONTROL APPLICATIONS	£178,403
DOMESTIC REFUSE	£124,597
REPAIRS & MAINTENANCE - VOIDS	£94,077
TOTAL	£397,077 (51% of total agency spend)

- **Strategic Risk Register monitoring** is 91% against the 80% target at the end of March 2024 (91% last quarter)

Strategic Performance Report – Executive Summary April 2024

(Data as at the end of March 2024)

Areas for Improvement (Chart reference shown in brackets)

- **Percentage of waste recycled and composted** is 33.91% against the profiled target of 35% at the end of February (33.42% in February 2023) - reported one month in arrears of other data
- **Planning permissions for affordable homes** is 24% against the target of 25% at the end of March
- **Working days lost to short term sickness absence** is 4.84 days per full time equivalent (FTE) against the target of 3.50 days/FTE at the end of March
- **Working days lost to long term sickness absence** is 6.94 days per full time equivalent (FTE) against the target of 5.25 days days/FTE at the end of March
- **Short term return to work interview compliance** rolling average is 87.07% within 3 days (88.22% last month). The average time to complete all interviews is 3.23 days (3.77 days last month)

Breakdown of Short Term Return to Work Interview Compliance

DIRECTORATE	COMPLIANCE WITHIN 3 DAYS (ROLLING MONTHS)	DAYS TO COMPLETE ALL INTERVIEWS (ROLLING MONTHS)
Chief Executive	100%	0
Finance and Governance	79.94%	1.83
Economy and Transformation	87.18%	9.27
Housing and Community Safety	93.92%	1.73
Public Services	76.79%	4.16

- **Building a Better Borough (BaBB) monitoring** is 69% against the 80% target at the end March 2024 (68% last quarter)

**Strategic Performance Report – Executive Summary April
2024**

(Data as at the end of March 2024)

NOTES

1. Rent Collection data will not be available until the new financial year pending completion of a data quality validation process.
2. There are 19 performance indicators within the Strategic Performance Report (18 with a target status when excluding rent collection – see 1 above), reported by exception with performance being on or around the target / good performance benchmark unless otherwise stated in this summary.
3. Finance data is not available pending the closure of the final accounts – to be reported to Cabinet in July. The status for each of these four measures is not included in the charts summary.

Appendix D - FOI / EIR Requests Outside 20 Day Response Timescale: April 2023 – March 2024 (Total of 150)

Reference	Created	Completed	Days to complete / outstanding	Service Area
FI534583813	26/07/2023	20/10/2023	62	Council Property
FI533403553	21/07/2023	09/10/2023	56	Finance
FI574652486	05/01/2024	22/03/2024	55	Finance
FI535967801	01/08/2023	12/10/2023	52	Transport and Infrastructure
FI570620200	19/12/2023	28/02/2024	51	Democracy
FI539026347	13/08/2023	24/10/2023	51	Environmental Protection
FI584346953	06/02/2024	17/04/2024	51	Legal
FI588344275	20/02/2024		49	Finance
FI575438926	08/01/2024	12/03/2024	46	Finance
FI577990997	16/01/2024	19/03/2024	45	Council Property
FI575746945	09/01/2024	12/03/2024	45	Finance
FI577977998	16/01/2024	15/03/2024	43	Democracy

Appendix D - FOI / EIR Requests Outside 20 Day Response Timescale: April 2023 – March 2024 (Total of 150)

Reference	Created	Completed	Days to complete / outstanding	Service Area
FI543156206	30/08/2023	27/10/2023	42	Environmental Protection
FI560486003	08/11/2023	04/01/2024	41	Housing
FI512974830	04/05/2023	30/06/2023	41	Transport and Infrastructure
FI542568785	28/08/2023	20/10/2023	39	Environmental Protection
FI542568591	28/08/2023	20/10/2023	39	Environmental Protection
FI580193580	24/01/2024	18/03/2024	38	Finance
FI541978836	25/08/2023	18/10/2023	38	Leisure and Culture
FI589064486	22/02/2024	15/04/2024	37	Council Property
FI539536167	15/08/2023	05/10/2023	37	Housing
FI563250279	20/11/2023	10/01/2024	37	Legal
FI509320231	20/04/2023	09/06/2023	36	Consumer Affairs
FI593842054	08/03/2024		36	Council Property

Appendix D - FOI / EIR Requests Outside 20 Day Response Timescale: April 2023 – March 2024 (Total of 150)

Reference	Created	Completed	Days to complete / outstanding	Service Area
FI547994180	18/09/2023	07/11/2023	36	Economic Development
FI506815714	11/04/2023	31/05/2023	36	Management
FI508975370	19/04/2023	07/06/2023	35	Democracy
FI588337817	20/02/2024	09/04/2024	35	Finance
FI523615547	13/06/2023	01/08/2023	35	Human Resources
FI588825757	21/02/2024	09/04/2024	34	Council Property
FI594913171	12/03/2024		34	Economic Development
FI509092217	19/04/2023	06/06/2023	34	Environmental Protection
FI593494033	07/03/2024	24/04/2024	34	Finance
FI541162855	22/08/2023	09/10/2023	34	Housing
FI569358228	14/12/2023	30/01/2024	33	Economic Development
FI595050612	13/03/2024		33	Economic Development

Appendix D - FOI / EIR Requests Outside 20 Day Response Timescale: April 2023 – March 2024 (Total of 150)

Reference	Created	Completed	Days to complete / outstanding	Service Area
FI538357810	10/08/2023	26/09/2023	33	Finance
FI523350634	12/06/2023	27/07/2023	33	Legal
FI540082922	17/08/2023	02/10/2023	32	Finance
FI541503487	23/08/2023	06/10/2023	32	Transport and Infrastructure
FI576318921	10/01/2024	22/02/2024	31	Council Property
FI529426068	05/07/2023	17/08/2023	31	Democracy
FI524169975	15/06/2023	28/07/2023	31	Finance
FI538936502	13/08/2023	26/09/2023	31	Finance
FI534599792	26/07/2023	07/09/2023	31	Procurement
FI518739379	24/05/2023	05/07/2023	30	Finance
FI540922374	21/08/2023	02/10/2023	30	Finance
FI597640673	19/03/2024		29	Council Property

Appendix D - FOI / EIR Requests Outside 20 Day Response Timescale: April 2023 – March 2024 (Total of 150)

Reference	Created	Completed	Days to complete / outstanding	Service Area
FI523986576	14/06/2023	25/07/2023	29	Council Property
FI577095441	13/01/2024	24/02/2024	29	Democracy
FI542790771	29/08/2023	09/10/2023	29	Finance
FI538616827	11/08/2023	21/09/2023	29	Finance
FI578912469	19/01/2024	29/02/2024	29	Finance
FI533186390	20/07/2023	30/08/2023	29	Housing
FI555264294	18/10/2023	28/11/2023	29	Housing
FI506621979	11/04/2023	19/05/2023	28	Consumer Affairs
FI520099966	30/05/2023	07/07/2023	28	Consumer Affairs
FI575519976	08/01/2024	15/02/2024	28	Finance
FI527754368	29/06/2023	08/08/2023	28	Finance
FI531092307	12/07/2023	21/08/2023	28	Finance

Appendix D - FOI / EIR Requests Outside 20 Day Response Timescale: April 2023 – March 2024 (Total of 150)

Reference	Created	Completed	Days to complete / outstanding	Service Area
FI597619854	19/03/2024	26/04/2024	28	Housing
FI552472164	06/10/2023	15/11/2023	28	Human Resources
FI512620358	03/05/2023	09/06/2023	27	Consumer Affairs
FI546786044	13/09/2023	20/10/2023	27	Consumer Affairs
FI530738222	11/07/2023	17/08/2023	27	Council Property
FI543446778	31/08/2023	09/10/2023	27	Democracy
FI540275184	18/08/2023	26/09/2023	27	Environmental Protection
FI590531594	27/02/2024	04/04/2024	27	Finance
FI510283592	24/04/2023	31/05/2023	27	Finance
FI539590951	15/08/2023	21/09/2023	27	Finance
FI594757760	12/03/2024	18/04/2024	27	Finance
FI578284046	17/01/2024	23/02/2024	27	Housing

Appendix D - FOI / EIR Requests Outside 20 Day Response Timescale: April 2023 – March 2024 (Total of 150)

Reference	Created	Completed	Days to complete / outstanding	Service Area
FI529963993	07/07/2023	15/08/2023	27	IT and C
FI593548296	07/03/2024	15/04/2024	27	Legal
FI590814727	28/02/2024	05/04/2024	27	Leisure and Culture
FI590283988	26/02/2024	03/04/2024	27	Planning and Building Control
FI585919548	11/02/2024	19/03/2024	26	Council Property
FI597957041	20/03/2024	25/04/2024	26	Democracy
FI516991636	18/05/2023	23/06/2023	26	Finance
FI529731278	06/07/2023	11/08/2023	26	Finance
FI522056685	07/06/2023	13/07/2023	26	Housing
FI532185876	17/07/2023	22/08/2023	26	Housing
FI545679219	08/09/2023	16/10/2023	26	Waste Management
FI567709086	07/12/2023	11/01/2024	25	Community Safety

Appendix D - FOI / EIR Requests Outside 20 Day Response Timescale: April 2023 – March 2024 (Total of 150)

Reference	Created	Completed	Days to complete / outstanding	Service Area
FI551388944	02/10/2023	06/11/2023	25	Consumer Affairs
FI567373375	06/12/2023	10/01/2024	25	Consumer Affairs
FI556961279	25/10/2023	29/11/2023	25	Crematoria and Cemeteries
FI588338535	20/02/2024	26/03/2024	25	Democracy
FI547410239	15/09/2023	20/10/2023	25	Directors
FI575883389	09/01/2024	13/02/2024	25	Economic Development
FI512627906	03/05/2023	07/06/2023	25	Environmental Protection
FI521001275	02/06/2023	07/07/2023	25	Finance
FI531285697	13/07/2023	17/08/2023	25	Finance
FI510729783	26/04/2023	31/05/2023	25	Finance
FI520904270	02/06/2023	07/07/2023	25	Finance
FI539573997	15/08/2023	19/09/2023	25	Housing

Appendix D - FOI / EIR Requests Outside 20 Day Response Timescale: April 2023 – March 2024 (Total of 150)

Reference	Created	Completed	Days to complete / outstanding	Service Area
FI594323509	11/03/2024	15/04/2024	25	Legal
FI505090907	04/04/2023	09/05/2023	25	Management
FI575886056	09/01/2024	13/02/2024	25	Management
FI586845117	14/02/2024	20/03/2024	25	Transport and Infrastructure
FI544578469	05/09/2023	09/10/2023	24	Council Property
FI508480242	17/04/2023	19/05/2023	24	Democracy
FI593040167	06/03/2024	09/04/2024	24	Finance
FI598045994	20/03/2024	23/04/2024	24	Legal
FI589422300	23/02/2024	28/03/2024	24	Management
FI578647305	18/01/2024	21/02/2024	24	Procurement
FI511282082	27/04/2023	31/05/2023	24	Transport and Infrastructure
FI539715542	16/08/2023	18/09/2023	23	Community Safety

Appendix D - FOI / EIR Requests Outside 20 Day Response Timescale: April 2023 – March 2024 (Total of 150)

Reference	Created	Completed	Days to complete / outstanding	Service Area
FI582970759	02/02/2024	06/03/2024	23	Consumer Affairs
FI511031181	27/04/2023	30/05/2023	23	Economic Development
FI572649989	29/12/2023	31/01/2024	23	Finance
FI511399480	28/04/2023	31/05/2023	23	Finance
FI520903668	02/06/2023	05/07/2023	23	Finance
FI540946452	21/08/2023	21/09/2023	23	Finance
FI523902969	14/06/2023	17/07/2023	23	Housing
FI587838082	18/02/2024	21/03/2024	23	Leisure and Culture
FI535966875	01/08/2023	01/09/2023	23	Leisure and Culture
FI549798014	26/09/2023	28/10/2023	23	Leisure and Culture
FI593544436	07/03/2024	09/04/2024	23	Management
FI522839788	09/06/2023	12/07/2023	23	Management

Appendix D - FOI / EIR Requests Outside 20 Day Response Timescale: April 2023 – March 2024 (Total of 150)

Reference	Created	Completed	Days to complete / outstanding	Service Area
FI562811310	17/11/2023	20/12/2023	23	Planning and Building Control
FI596238957	15/03/2024	16/04/2024	22	Community Safety
FI552466502	06/10/2023	07/11/2023	22	Council Property
FI537504875	07/08/2023	06/09/2023	22	Democracy
FI546428589	12/09/2023	12/10/2023	22	Democracy
FI554003208	12/10/2023	13/11/2023	22	Finance
FI522193351	07/06/2023	07/07/2023	22	Finance
FI557603030	27/10/2023	28/11/2023	22	Housing
FI562042664	14/11/2023	14/12/2023	22	Housing
FI519311395	26/05/2023	27/06/2023	22	Leisure and Culture
FI586297951	13/02/2024	14/03/2024	22	Leisure and Culture
FI590548196	27/02/2024	27/03/2024	21	Community Safety

Appendix D - FOI / EIR Requests Outside 20 Day Response Timescale: April 2023 – March 2024 (Total of 150)

Reference	Created	Completed	Days to complete / outstanding	Service Area
FI508662322	18/04/2023	17/05/2023	21	Consumer Affairs
FI545674113	08/09/2023	09/10/2023	21	Council Property
FI548832948	21/09/2023	20/10/2023	21	Council Property
FI537858250	08/08/2023	06/09/2023	21	Crematoria and Cemeteries
FI593476714	07/03/2024	05/04/2024	21	Economic Development
FI592696308	05/03/2024	03/04/2024	21	Environmental Protection
FI557484361	27/10/2023	27/11/2023	21	Finance
FI570299143	18/12/2023	16/01/2024	21	Finance
FI532875150	19/07/2023	17/08/2023	21	Housing
FI569595447	15/12/2023	15/01/2024	21	Housing
FI571044907	21/12/2023	19/01/2024	21	Housing
FI522644838	09/06/2023	10/07/2023	21	Housing

Appendix D - FOI / EIR Requests Outside 20 Day Response Timescale: April 2023 – March 2024 (Total of 150)

Reference	Created	Completed	Days to complete / outstanding	Service Area
FI533817409	24/07/2023	22/08/2023	21	Housing
FI535974838	01/08/2023	30/08/2023	21	Housing
FI577661474	15/01/2024	13/02/2024	21	Human Resources
FI521490241	05/06/2023	04/07/2023	21	Leisure and Culture
FI537684735	08/08/2023	06/09/2023	21	Management
FI579724820	23/01/2024	21/02/2024	21	Procurement

Appendix E - Complaints Outside 10 Day Response Timescale: April 2023 – March 2024 (Total of 173)

Reference	Created	Responded	Days to complete / outstanding	Service Area
CF534477969	26/07/2023	29/01/2024	133	Community Safety
CF548482661	20/09/2023	20/12/2023	65	Community Safety
CF544879244	06/09/2023	05/12/2023	64	Community Safety
CF555544198	19/10/2023	11/01/2024	60	Community Safety
CF512253615	02/05/2023	03/07/2023	44	Community Safety
CF589128765	22/02/2024		40	Community Safety
CF527553670	28/06/2023	17/08/2023	36	Community Safety
CF568733285	12/12/2023	30/01/2024	35	Community Safety
CF591679500	01/03/2024		34	Community Safety
CF558313999	31/10/2023	18/12/2023	34	Community Safety
CF591665126	01/03/2024		34	Community Safety
CF549340397	24/09/2023	08/11/2023	32	Community Safety
CF514225605	09/05/2023	21/06/2023	31	Consumer Affairs Food and Health
CF565082774	27/11/2023	09/01/2024	31	Consumer Affairs Food and Health
CF516912153	18/05/2023	29/06/2023	30	Consumer Affairs Licensing

Appendix E - Complaints Outside 10 Day Response Timescale: April 2023 – March 2024 (Total of 173)

Reference	Created	Responded	Days to complete / outstanding	Service Area
CF554150013	13/10/2023	23/11/2023	29	Consumer Affairs Licensing
CF506715351	11/04/2023	18/05/2023	27	Council Property
CF526786667	26/06/2023	01/08/2023	26	Council Property
CF534785962	27/07/2023	31/08/2023	25	Council Property
CF523956990	14/06/2023	19/07/2023	25	Council Property
CF520647077	01/06/2023	05/07/2023	24	Crematoria and Cemeteries
CF554624948	16/10/2023	17/11/2023	24	Crematoria and Cemeteries
CF520954318	02/06/2023	06/07/2023	24	Crematoria and Cemeteries
CF569491749	14/12/2023	16/01/2024	23	Crematoria and Cemeteries
CF548505681	20/09/2023	23/10/2023	23	Crematoria and Cemeteries
CF593201466	06/03/2024	08/04/2024	23	Crematoria and Cemeteries
CF548865509	21/09/2023	20/10/2023	21	Crematoria and Cemeteries
CF509101505	19/04/2023	18/05/2023	21	Crematoria and Cemeteries
CF546403493	12/09/2023	11/10/2023	21	Crematoria and Cemeteries
CF517144584	18/05/2023	16/06/2023	21	Crematoria and Cemeteries

Appendix E - Complaints Outside 10 Day Response Timescale: April 2023 – March 2024 (Total of 173)

Reference	Created	Responded	Days to complete / outstanding	Service Area
CF528904034	04/07/2023	01/08/2023	20	Crematoria and Cemeteries
CF577792507	16/01/2024	13/02/2024	20	Crematoria and Cemeteries
CF536314884	02/08/2023	30/08/2023	20	Crematoria and Cemeteries
CF577638975	15/01/2024	12/02/2024	20	Crematoria and Cemeteries
CF555818328	20/10/2023	16/11/2023	19	Crematoria and Cemeteries
CF530882023	11/07/2023	07/08/2023	19	Crematoria and Cemeteries
CF541235966	22/08/2023	18/09/2023	19	Crematoria and Cemeteries
CF505240454	05/04/2023	02/05/2023	19	Crematoria and Cemeteries
CF508626496	18/04/2023	15/05/2023	19	Crematoria and Cemeteries
CF542642137	29/08/2023	25/09/2023	19	Crematoria and Cemeteries
CF542854529	29/08/2023	25/09/2023	19	Crematoria and Cemeteries
CF543303703	31/08/2023	27/09/2023	19	Crematoria and Cemeteries
CF559955621	06/11/2023	01/12/2023	19	Customer Services
CF520873722	02/06/2023	29/06/2023	19	Customer Services
CF570128606	18/12/2023	11/01/2024	18	Customer Services

Appendix E - Complaints Outside 10 Day Response Timescale: April 2023 – March 2024 (Total of 173)

Reference	Created	Responded	Days to complete / outstanding	Service Area
CF584342632	06/02/2024	01/03/2024	18	Customer Services
CF540335660	18/08/2023	13/09/2023	18	Customer Services
CF589578225	23/02/2024	20/03/2024	18	Customer Services
CF544596925	05/09/2023	29/09/2023	18	Customer Services
CF521316131	04/06/2023	29/06/2023	18	Customer Services
CF570823154	20/12/2023	15/01/2024	18	Customer Services
CF549629962	25/09/2023	18/10/2023	17	Customer Services
CF509646117	21/04/2023	16/05/2023	17	Customer Services
CF515228929	12/05/2023	06/06/2023	17	Customer Services
CF584919182	07/02/2024	01/03/2024	17	Customer Services
CF505342603	05/04/2023	28/04/2023	17	Customer Services
CF529431406	05/07/2023	28/07/2023	17	Customer Services
CF553564353	11/10/2023	03/11/2023	17	Customer Services
CF553684665	11/10/2023	03/11/2023	17	Customer Services
CF553717083	11/10/2023	03/11/2023	17	Customer Services

Appendix E - Complaints Outside 10 Day Response Timescale: April 2023 – March 2024 (Total of 173)

Reference	Created	Responded	Days to complete / outstanding	Service Area
CF541232090	22/08/2023	14/09/2023	17	Customer Services
CF560922255	09/11/2023	01/12/2023	16	Democracy Democratic Services
CF570237109	18/12/2023	09/01/2024	16	Democracy Democratic Services
CF581799498	30/01/2024	21/02/2024	16	Democracy Democratic Services
CF519469384	27/05/2023	20/06/2023	16	Democracy Democratic Services
CF523349663	12/06/2023	04/07/2023	16	Democracy Democratic Services
CF569601968	15/12/2023	08/01/2024	16	Democracy Elections
CF585121842	08/02/2024	01/03/2024	16	Directors
CF600329436	27/03/2024	18/04/2024	16	Directors
CF505526015	05/04/2023	27/04/2023	16	Economic Development Economic development
CF533196696	20/07/2023	11/08/2023	16	Economic Development Economic development
CF534005721	24/07/2023	15/08/2023	16	Economic Development Town Centres and Markets
CF536567304	03/08/2023	25/08/2023	16	Economic Development Town Centres and Markets
CF597641321	19/03/2024	10/04/2024	16	Economic Development Town Centres and Markets
CF522136130	07/06/2023	29/06/2023	16	Economic Development Town Centres and Markets

Appendix E - Complaints Outside 10 Day Response Timescale: April 2023 – March 2024 (Total of 173)

Reference	Created	Responded	Days to complete / outstanding	Service Area
CF595054112	13/03/2024	03/04/2024	15	Economic Development Town Centres and Markets
CF522349049	08/06/2023	29/06/2023	15	Economic Development Town Centres and Markets
CF580872474	26/01/2024	16/02/2024	15	Economic Development Town Centres and Markets
CF592583926	05/03/2024	26/03/2024	15	Economic Development Town Centres and Markets
CF544368963	04/09/2023	25/09/2023	15	Economic Development Town Centres and Markets
CF548828933	21/09/2023	12/10/2023	15	Economic Development Town Centres and Markets
CF576805151	12/01/2024	02/02/2024	15	Economic Development Town Centres and Markets
CF548890540	21/09/2023	12/10/2023	15	Economic Development Town Centres and Markets
CF564169266	23/11/2023	14/12/2023	15	Economic Development Town Centres and Markets
CF553390952	10/10/2023	30/10/2023	14	Economic Development Town Centres and Markets
CF506443195	10/04/2023	28/04/2023	14	Environmental Protection Environmental protection
CF550391346	28/09/2023	18/10/2023	14	Environmental Protection Environmental protection
CF533402663	21/07/2023	10/08/2023	14	Environmental Protection Environmental protection
CF514621691	10/05/2023	30/05/2023	14	Environmental Protection Environmental protection
CF529004652	04/07/2023	24/07/2023	14	Environmental Protection Environmental protection

Appendix E - Complaints Outside 10 Day Response Timescale: April 2023 – March 2024 (Total of 173)

Reference	Created	Responded	Days to complete / outstanding	Service Area
CF569865756	16/12/2023	05/01/2024	14	Environmental Protection Environmental protection
CF578972031	19/01/2024	08/02/2024	14	Environmental Protection Environmental protection
CF546814931	13/09/2023	03/10/2023	14	Environmental Protection Environmental protection
CF507881879	14/04/2023	04/05/2023	14	Environmental Protection Environmental protection
CF522046138	07/06/2023	27/06/2023	14	Environmental Protection Environmental protection
CF534063299	24/07/2023	11/08/2023	14	Environmental Protection Pest and Animal Control
CF541641574	24/08/2023	13/09/2023	14	Environmental Protection Pest and Animal Control
CF553854394	12/10/2023	01/11/2023	14	Environmental Protection Pest and Animal Control
CF569749666	15/12/2023	04/01/2024	14	Finance Accounts
CF516815991	17/05/2023	06/06/2023	14	Finance Audit
CF511119606	27/04/2023	17/05/2023	14	Finance Benefits
CF564625879	24/11/2023	14/12/2023	14	Finance Benefits
CF572896343	30/12/2023	21/01/2024	14	Finance Benefits
CF597958474	20/03/2024	09/04/2024	14	Finance Benefits
CF573462686	02/01/2024	19/01/2024	13	Finance Benefits

Appendix E - Complaints Outside 10 Day Response Timescale: April 2023 – March 2024 (Total of 173)

Reference	Created	Responded	Days to complete / outstanding	Service Area
CF508653430	18/04/2023	05/05/2023	13	Finance Revenues
CF558341597	31/10/2023	17/11/2023	13	Finance Revenues
CF594300356	11/03/2024	28/03/2024	13	Finance Revenues
CF570750448	20/12/2023	08/01/2024	13	Finance Revenues
CF540530591	19/08/2023	07/09/2023	13	Finance Revenues
CF551517086	03/10/2023	20/10/2023	13	Finance Revenues
CF558436469	31/10/2023	17/11/2023	13	Finance Revenues
CF559668416	05/11/2023	23/11/2023	13	Finance Revenues
CF571027360	21/12/2023	09/01/2024	13	Finance Revenues
CF600238090	27/03/2024	15/04/2024	13	Finance Revenues
CF586427827	13/02/2024	01/03/2024	13	Finance Revenues
CF522351042	08/06/2023	27/06/2023	13	Finance Revenues
CF544607065	05/09/2023	22/09/2023	13	Finance Revenues
CF520012597	30/05/2023	16/06/2023	13	Finance Revenues
CF550265853	27/09/2023	16/10/2023	13	Finance Revenues

Appendix E - Complaints Outside 10 Day Response Timescale: April 2023 – March 2024 (Total of 173)

Reference	Created	Responded	Days to complete / outstanding	Service Area
CF572643443	29/12/2023	17/01/2024	13	Finance Revenues
CF531295453	13/07/2023	31/07/2023	12	Finance Revenues
CF518302079	23/05/2023	08/06/2023	12	Finance Revenues
CF516003041	15/05/2023	31/05/2023	12	Finance Revenues
CF561724358	13/11/2023	29/11/2023	12	Finance Revenues
CF566781560	04/12/2023	20/12/2023	12	Finance Revenues
CF574180354	03/01/2024	19/01/2024	12	Finance Revenues
CF522789591	09/06/2023	27/06/2023	12	Finance Revenues
CF522798038	09/06/2023	27/06/2023	12	Finance Revenues
CF567469343	06/12/2023	22/12/2023	12	Finance Revenues
CF575494304	08/01/2024	24/01/2024	12	Finance Revenues
CF577187057	13/01/2024	31/01/2024	12	Finance Revenues
CF520221609	31/05/2023	16/06/2023	12	Finance Revenues
CF543012470	30/08/2023	16/09/2023	12	Finance Revenues
CF554039137	12/10/2023	30/10/2023	12	Finance Revenues

Appendix E - Complaints Outside 10 Day Response Timescale: April 2023 – March 2024 (Total of 173)

Reference	Created	Responded	Days to complete / outstanding	Service Area
CF562273677	15/11/2023	01/12/2023	12	Finance Revenues
CF527266235	27/06/2023	13/07/2023	12	Finance Revenues
CF564077117	22/11/2023	08/12/2023	12	Finance Revenues
CF564454159	24/11/2023	12/12/2023	12	Finance Revenues
CF539171111	14/08/2023	29/08/2023	11	Finance Revenues
CF539277294	14/08/2023	29/08/2023	11	Finance Revenues
CF544012920	03/09/2023	19/09/2023	11	Finance Revenues
CF567176053	05/12/2023	20/12/2023	11	Finance Revenues
CF567445016	06/12/2023	21/12/2023	11	Finance Revenues
CF598002107	20/03/2024	04/04/2024	11	Finance Revenues
CF536591607	03/08/2023	18/08/2023	11	Finance Revenues
CF527393029	28/06/2023	13/07/2023	11	Finance Revenues
CF546156771	11/09/2023	26/09/2023	11	Finance Revenues
CF567140871	05/12/2023	20/12/2023	11	Finance Revenues
CF542881126	29/08/2023	13/09/2023	11	Finance Revenues

Appendix E - Complaints Outside 10 Day Response Timescale: April 2023 – March 2024 (Total of 173)

Reference	Created	Responded	Days to complete / outstanding	Service Area
CF511999880	01/05/2023	16/05/2023	11	Finance Revenues
CF564490125	24/11/2023	11/12/2023	11	Finance Revenues
CF564574756	24/11/2023	11/12/2023	11	Finance Revenues
CF576383833	10/01/2024	25/01/2024	11	Finance Revenues
CF597591118	19/03/2024	03/04/2024	11	Finance Revenues
CF597804833	20/03/2024	04/04/2024	11	Finance Revenues
CF507137998	12/04/2023	27/04/2023	11	Finance Revenues
CF510861626	26/04/2023	11/05/2023	11	Finance Revenues
CF511397805	28/04/2023	15/05/2023	11	Finance Revenues
CF511416090	28/04/2023	15/05/2023	11	Finance Revenues
CF520085619	30/05/2023	14/06/2023	11	Finance Revenues
CF522445076	08/06/2023	23/06/2023	11	Finance Revenues
CF523327399	12/06/2023	27/06/2023	11	Finance Revenues
CF541277782	22/08/2023	06/09/2023	11	Finance Revenues
CF547147324	14/09/2023	29/09/2023	11	Finance Revenues

Appendix E - Complaints Outside 10 Day Response Timescale: April 2023 – March 2024 (Total of 173)

Reference	Created	Responded	Days to complete / outstanding	Service Area
CF549493624	25/09/2023	10/10/2023	11	Finance Revenues
CF553276930	10/10/2023	25/10/2023	11	Finance Revenues
CF518592820	24/05/2023	08/06/2023	11	Finance Revenues
CF546436046	12/09/2023	27/09/2023	11	Housing HEART
CF549538238	25/09/2023	10/10/2023	11	Housing HEART
CF554281198	13/10/2023	30/10/2023	11	Housing HEART
CF577162744	13/01/2024	30/01/2024	11	Housing HEART
CF512668929	03/05/2023	18/05/2023	11	Housing HEART

Appendix F - Integrated Performance Report Additional Information – Member Enquiry Forms for Scrutiny Panels

Full Year 2023/24 Summary (timescale 2 working days response)

Service Area	Apr-23	May-23	Jun-23	Jul-23	Aug-23	Sep-23	Oct-23	Nov-23	Dec-23	Jan-24	Feb-24	Mar-24	Total
Leisure and Culture	14	11	30	17	17	30	25	10	6	6	16	25	207
Housing	10	9	17	4	4	11	17	12	2	16	11	6	119
Waste Management	5	4	7	5	5	6	4	5	2	6	7	5	61
Planning and Building Control	2	1	5		1	1	2	3	2			4	21
Council Property		1	3			3		2	2	1	1		13
Customer Services	3	1	1	1	3	1	1	1					12
Environmental Protection	2		4		2		1		1				10
Economic Development	1	2				1	1	1	1	1		1	9
Finance	1		2			2	2					1	8
Crematoria and Cemeteries				1			1	1	2	1			6
Democracy	1		3	1									5
Community Safety								1			1		2
Consumer Affairs							1						1
Legal						1							1
Management								1					1
Transport and Infrastructure								1					1
Grand Total	39	29	72	29	32	56	55	38	18	31	36	42	477

- Number of **fly tipping** requests submitted by Elected Members on the designated online form in 2023/24 (10 working days) = **36**
- Number of **grounds maintenance requests** submitted by Elected Members on the designated online form in 2023/24 (10 working days) = **78**

AGENDA ITEM NO. 7

NUNEATON AND BEDWORTH BOROUGH COUNCIL

Report to: Housing and Communities Overview & Scrutiny Panel

Date: 6th June 2024

From: Nicola Botterill – Assistant Director, Social Housing & Community Safety

Subject: Complaint Handling Code Self-Assessment & Housing Complaints Annual Report 2023/24

Portfolio: Housing – Cllr. C. Watkins

Building a Better Borough Theme: 1

Building a Better Borough Priority: 1

1.0 OBJECTIVES OF SCRUTINY

1.1 To provide the Panel with the details of the social housing Complaint Handling Code Self-Assessment 2023/24, along with the Housing Complaints Annual Report for 2023/24. Both documents must be submitted to the Housing Ombudsman Service (HOS) by 30th June 2024.

2.0 WHAT IS THE PANEL BEING ASKED TO CONSIDER?

2.1 The Panel is asked to consider the information provided within the report, and provide comment. The Housing Complaints Annual Report and the Complaint Code Self-Assessment are attached at **Appendix A**.

3.0 WHO/ WHAT CAN THE PANEL INFLUENCE?

3.1 The panel can examine the information provided and provide comments to the Portfolio Holder for Housing and to the Cabinet Executive.

4.0 BACKGROUND INFORMATION

4.1 In 2022, the Housing Ombudsman Service (HOS) introduced a new Complaint Handling Code (the Code) providing a 'framework for high-quality complaint handling and greater consistency across landlords' complaint procedures'.

4.2 The Social Housing (Regulation) Act 2023 (the Act) empowered the Housing Ombudsman to issue a code of practice about the procedures Landlords of the Scheme should have in place for considering complaints. It also placed a duty on the HOS to monitor compliance with a code of

practice that it has issued. The HOS consulted on the Code and their intended approach to the duty to monitor in late 2023. The statutory Code came into effect on 1 April 2024 and the HOS duty to monitor compliance commenced at the same time.

- 4.3 The HOS expects all social housing Landlords to comply with all provisions in the Code, as this represents best practice in complaint handling. Where the HOS finds an organisation has deviated from the Code in policy or practice, it may use its powers to put matters right and ensure compliance with the Code. Where a landlord's policy does not comply with the Code, it must provide a detailed explanation for non-compliance in its self-assessment and the date by which it intends to comply.
- 4.4 The HOS requires all landlords to have strong local complaint handling and a positive complaint handling culture – resolving complaints earlier and potentially without referral to the HOS extends fairness to the benefit of all tenants. This also leads to better services and strengthens relationships with tenants. The HOS will use the duty to monitor compliance to further these aims by supporting better practice and providing opportunities for landlords to demonstrate complaint handling improvements.
- 4.6 In preparation for the commencement of the Code, a thorough review of the approach of the social housing service was undertaken. As a result, a number of working practises were amended to ensure that our social housing teams meet the requirements of the Code. Additionally, where further work is required, that the necessary steps are being taken to ensure we are fully complaint. One of those steps was to implement a new Housing Policy, which can be found at **Appendix B** NBBC Complaint Policy & Procedure.

5.0 SELF-ASSESSMENT, REPORTING AND COMPLIANCE

- 5.1 It is a requirement for the Council to produce a social housing Complaints Annual Performance and Service Improvement Report for scrutiny and challenge, which must include:
- a) the annual self-assessment against the Code to ensure the Council's complaint handling policy remains in line with its requirements.
 - b) a qualitative and quantitative analysis of the Council's complaint handling performance. This must also include a summary of the types of complaints the Council has refused to accept;
 - c) any findings of non-compliance with this Code by the Ombudsman; d) the service improvements made as a result of the learning from complaints;
 - e) any annual report about the Council's performance from the Ombudsman; and
 - f) any other relevant reports or publications produced by the Ombudsman in relation to the work of the Council.

- 5.2 The annual complaints performance and service improvement report must be reported to the Housing and Communities Overview and Scrutiny Panel for consideration and comment, and to the Cabinet Executive. It must also be published on the section of the Council's website relating to complaints. The Housing and Communities Overview and Scrutiny Panel and Cabinet Executive responses to the report must be published alongside this.
- 5.3 It is also a requirement for the Council to carry out a self-assessment following a significant restructure, merger and/or change in procedures and the Council may also be asked to review and update the self-assessment following an HOS investigation.
- 5.4 If the Council is unable to comply with the Code due to exceptional circumstances, such as a cyber incident, it must inform the Ombudsman, provide information to tenants who may be affected, and publish this on our website.

6.0 SCRUTINY AND OVERSIGHT: CONTINUOUS LEARNING AND IMPROVEMENT

- 6.1 It is a requirement for the Council to 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. A positive complaint handling culture is integral to the effectiveness with which the Council resolves disputes.
- 6.2 Accountability and transparency are also integral to a positive complaint handling culture. The Council must report back on wider learning and improvements from complaints to stakeholders, such as tenant panels, staff and relevant committees.
- 6.3 The Council must appoint a suitably senior lead person as accountable for its complaint handling – this is the responsibility of the Assistant Director – Social Housing & Community Safety. The Assistant Director – Social Housing & Community Safety must assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision. In addition to this, a member of Cabinet must be appointed to have lead responsibility for complaints to support a positive complaint handling culture.
- 6.4 This person is referred to as the Member Responsible for Complaints ('the MRC'). The MRC will be responsible for ensuring that Cabinet and the Housing & Communities Overview and Scrutiny Panel receives regular information on complaints that provides insight on the Council's complaint handling performance. A copy of the requirements of the post is attached at **Appendix C**. The nominated person must have access to suitable information and staff to perform this role and report on their findings. As a minimum, the MRC, Cabinet and the Housing & Communities Overview and Scrutiny Panel must receive:

- a) regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;
 - b) regular reviews of issues and trends arising from complaint handling;
 - c) regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and
 - d) the annual complaints performance and service improvement report.
- 6.5 In order to meet the above requirements, a Housing Key Performance Indicators report, will be presented to the Housing and Communities Overview and Scrutiny Panel 3 times per year. The MRC will receive a Key Performance report on a monthly basis.
- 6.6 The Council must also 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.

7.0 CONCLUSIONS

- 7.1 The self-assessment of the Council's current complaints process against the expectations set out in the Code, (in addition to the completion of the Housing Complaints Annual Report), have provided a great opportunity for the Council to review its current processes and procedures in the way it handles housing complaints. As a result, changes to working processes have been implemented, for example, letter templates being reviewed and amended, a new Housing Complaints Policy being implemented, changes being made to the Council's corporate complaints system, amongst other new initiatives.
- 7.2 This process has also resulted in the Housing & Community Safety directorate embedding best practice in Complaints handling to provide a better service and outcomes for our tenants and teams will continue to ensure that we are fully compliant with the Code.

Background Papers

Housing Ombudsman Service Complaint Handling Code [The Complaint Handling Code | Housing Ombudsman Service \(housing-ombudsman.org.uk\)](https://www.housing-ombudsman.org.uk)

ANNUAL HOUSING COMPLAINT PERFORMANCE & SERVICE IMPROVEMENT REPORT 2023/24



TABLE OF CONTENTS

INTRODUCTION	3
OUR HOUSING STOCK	4
Stock Condition	4
COMPLAINT HANDLING GOVERNANCE & PROCEDURES	6
Policy & Procedure	6
Governance	7
Complaints Handling Team	8
COMPLAINT HANDLING PERFORMANCE	9
Stage 1 Complaints	10
Stage 2 Complaints	11
Complaints referred to the Housing Ombudsman	12
LEARNING & IMPROVEMENT	13
Benchmarking Against Peers	13
Compliments	14
Complaint Handling Improvements	14
Service Area Improvements	14
2024/25 Improvement Action Plan	18
Appendix A: Self-assessment form	1
Section 1: Definition of a complaint	2
Section 2: Exclusions	6
Section 3: Accessibility and Awareness	9
Section 4: Complaint Handling Staff	12
Section 5: The Complaint Handling Process	14
Section 6: Complaints Stages	22
Section 7: Putting things right	31
Section 8: Putting things right	33
Section 9: Scrutiny & oversight: continuous learning and improvement	36

INTRODUCTION

This Annual Report provides analysis of the complaints and compliments received from tenants during the period 1st April 2023 to 31st March 2024.

Housing services are delivered by Nuneaton and Bedworth Borough Council to our tenants and their families living in **5,624** homes across the borough.



We are committed to meeting our obligations to be compliant with the Housing Ombudsman Complaint Handling Code 2024, and we want to achieve best practice in our complaint handling process and ultimately provide a better service to our tenants and leaseholders.

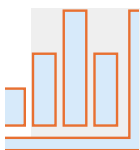
This report contains:



details of the council's housing complaint handling performance and compliance to the Housing Ombudsman's Complaint Handling Code 2022



areas of good practice



complaints themes and trends



areas of learning and improvement and recommended further actions to be taken to improve the Council's performance and services delivery

During 2023/24 complaints were handled under the Council's Complaint Handling Procedure which had regard to the Housing Ombudsman Complaint Handling Code 2022, however, during Quarter 4 of 2023/24, a review of the Council's complaint handling procedures was undertaken. As a result, a new Complaint Handling Policy & Procedure was approved and adopted in preparation for the implementation of the new Complaint Handling Code taking effect from 1st April 2024. Details of other changes and improvements made are provided in the final section of this report.

OUR HOUSING STOCK

To provide context, the borough of Nuneaton and Bedworth is one of five local authorities in the county of Warwickshire, the others being Warwick, Stratford-on-Avon, Rugby, and North Warwickshire. It covers 79 square kilometres and is a completely urban authority having no rural villages within its boundaries. The borough has experienced an increase in population and a rise in demand for social housing. The current number of council homes available in Nuneaton and Bedworth is **5,624**. The table below gives a breakdown of the number and type of stock that is currently owned by the Council:

Type	Nuneaton	Bedworth	Total
General Purpose Dwellings			
Bedsitter	92	29	121
Bungalow	58	82	140
House	1,882	855	2,737
Flats	955	252	1,207
Maisonettes	96	153	249
Total General Purpose			4,454
Independent Living			
Bedsitter	94	121	215
Bungalow	179	235	414
House	5	1	6
Flats	366	169	535
Total Independent Living			1,170
Total			5,624

Stock Condition

Most of the Council's housing stock is ageing. With a significant number of properties over 50 years old the properties have required major maintenance and repair. The Council has successfully modernised the vast majority of its stock by delivering the following projects:

- Roof renewals to houses and flat blocks.
- External wall and loft insulation works.
- Re-wiring of properties.
- Concrete structural repairs to flat blocks which also included new balconies and staircases.
- Lift renewals to flat blocks.
- Replacement of external doors to uPVC.

- A rolling programme of central heating installations, fire detection and alarm installations.
- Renewal and modernisation of kitchens and bathrooms.
- Providing provisions for scooter housing at Independent Living accommodation.
- Installation of walk-in showers for older and disabled tenants.

As a result of the above projects, a stock condition survey carried out in 2023 reported that **98.32%** of the Council's homes meet the Decent Homes Standard.

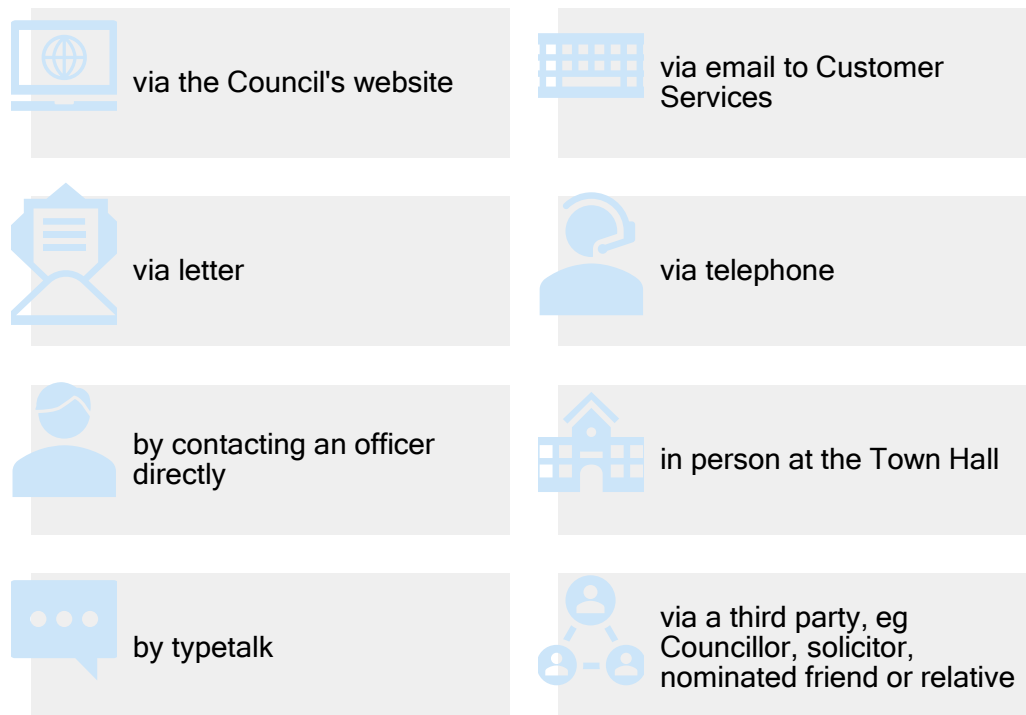
The Council is also continually looking for new acquisitions and new builds to replenish its housing stock.



COMPLAINT HANDLING GOVERNANCE & PROCEDURES

Policy & Procedure

The Council's [Housing Complaints Policy and Procedures](#) provide the framework for ensuring that formal complaints are handled consistently, fairly, effectively, confidentially and in a timely manner by competent complaint handling staff. Tenants can make a formal complaint to the Council through a variety of ways:



Good communication, both internally within the Council and externally with its tenants, is vital to our complaints service. It is important that our tenants understand what can or cannot be done in relation to a problem or complaint and our priority is to resolve concerns as soon as they come to our attention. The Council encourages any tenant or service user who has a concern to first approach the team or member of staff in the relevant service area or make a service request:

<p>CUSTOMER SERVICES The corporate point of contact for all customer enquiries, feedback, notifications, comments, compliments and complaints.</p>	<p>HEART Providing advice and assistance to deliver disabled adaptations and home improvements to keep tenants safe, secure and warm in their homes.</p>	<p>STRATEGIC HOUSING Providing services such as homelessness, private sector housing and Housing Allocations.</p>	<p>LANDLORD SERVICES Providing services such as tenancy management, estate management, anti-social behaviour, tenant support, tenant engagement and independent living.</p>	<p>PROPERTY SERVICES Providing day to day repairs to the council's housing stock, including planned works, such as door and window replacements, kitchen and bathroom upgrades, roofing works, whilst ensuring homes are safe to live in.</p>
---	---	--	--	--

If after raising concerns or requesting a service the tenant remains dissatisfied with the proposed resolution, tenants are then encouraged to make a formal complaint to the Council.

Governance

Following the local elections on 5th May 2024 and confirmed at the [Annual Meeting of the Council held on 15th May, 2024](#), the appointed Housing Portfolio Holder (who is also the new Leader of the Council) has taken over the responsibilities of the role of Member Responsible for Complaints (MRC).

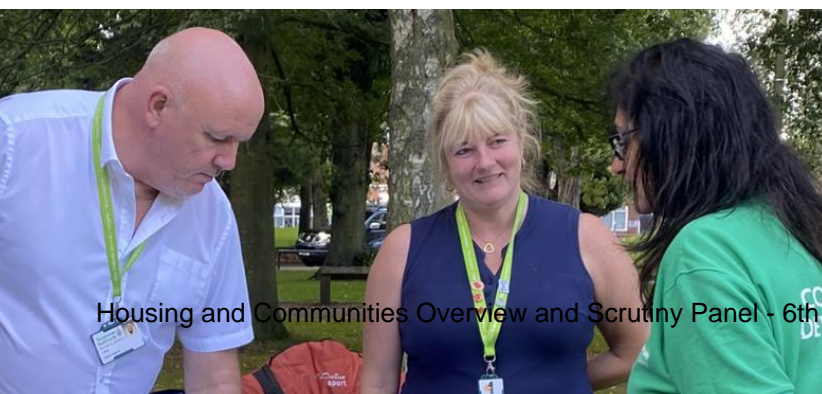


Cllr Christopher Watkins

A new Overview & Scrutiny Panel has been established to provide more dedicated focus on Housing and Communities matters; this will not only give the opportunity for more detailed scrutiny of the Council's housing services, but also hopefully encourage increased tenant attendance and involvement. Quarterly complaint handling performance reports are to be submitted to the new Housing and Communities Overview & Scrutiny Panel providing details of key housing performance indicators, including:

- Number of complaints received.
- Percentage of complaints completed outside of the service level agreement.
- % of complaints responded to in full at Stage 1.
- % of complaints responded to in full at Stage 2.
- Number of complaints upheld.
- Housing Ombudsman cases.

Corporate complaint handling performance reports are presented quarterly to the Council's Senior Management Team consisting of the Chief Executive and four Strategic Directors. Detailed monthly complaint analysis reports are also reported to the Strategic Director for Housing & Community Safety and Assistant Directors for Housing, where complaint themes and trends are reviewed and any changes or improvement to service identified.



Complaints Handling Team

The Council's chosen system for recording comments, complaints and compliments is the Granicus System. The corporate responsibility for administering the system is carried out by the Council's Information Technology & Communications Team. Corporate responsibility for system training and also monitoring the use of the system is held by the Customer Experience & Data Protection Officer. Complaint e-learning also forms part of the Customer Services staff mandatory induction training along with frontline staff communication training, covering how to communicate professionally with our customers, including those making complaints.

The Council's Complaint Handling Team consists of a combination of officers, with Customer & Client Services and Housing Services teams carrying out specific aspects of the 'Complaint Officer' role. The diagram below depicts the roles and responsibilities of individual members of the team.

The Customer Experience & Data Protection Officer

Responsible for corporate Complaint Handling, performance reporting and overseeing the corporate use of the Granicus system. This role is also the Council's lead contact for the Housing Ombudsman & Local Government & Social Care Ombudsman.

Customer Services Advisors

Responsible for logging complaints on the Granicus system and assigning complaints to the relevant service teams.

Assistant Director of Social Housing & Community Safety

Responsible for assessing any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision and reporting to the governing body.

Housing Team Leaders & Managers

Responsible for investigating and responding to complaints at Stage 1 and Stage 2.

Housing Assistants

Responsible for assigning housing complaints to lead investigating officers, and monitoring progress of complaints through to response in line with complaint handling timeframes.

Housing & Community Safety Business Performance officer

Responsible for analysing and reporting Housing complaint handling performance, trends and themes to Housing management.



COMPLAINT HANDLING PERFORMANCE

From 1st April 2023 to 31st March 2024 the Council received **267** formal complaints from tenants – see Table 1 below.

	Total no. of complaints received	No. per 1,000 housing stock		Responded to within the Housing Ombudsman Complaint Handling timescales	
		Mid year	Year end	Mid year	Year End
Stage 1	267	53.80	47.5	79.9%	97%
Stage 2	35	8.17	6.2	71.7%	91%

Table 1: Housing Complaints 2023/24

Table 1 above indicates that there was a slight decrease in the number of formal complaints received during the second half of the 2023/24 reporting year.

Whilst eight Stage 1 and two Stage 2 complaints failed to be responded to within the complaint handling timeframes, figures also indicate that response performance against service level agreements improved during the second half of the year. The Council did not refuse to accept any formal complaints submitted during the 2023/2024 period.

The figures in Table 1 above also indicate a decrease in the number of formal complaints received from tenants and an improvement in the Council's complaint handling performance when compared with data from the previous reporting year, ie 1st April 2022 to 31st March 2023, as reported by Housemark – see Table 2.

	Total no. of complaints received	Responded to within the Housing Ombudsman Complaint Handling timescales	
		No.	%
Stage 1	303	242	79.87%
Stage 2	46	33	71.74%

Table 2: Housing Complaints 2022/23

Stage 1 Complaints

Figure 1 shows the breakdown of complaints received by service area. By far the largest proportion of formal complaints (76%) were received for Property Services.

Figure 2 shows a breakdown of complaints received by theme. The chart below details the complaint trends for 2023/24. The top three areas requiring greater consideration and improvement are 1) repairs, 2) communication, and 3) officer conduct, behaviour and performance.

Figure 1: Complaints received by service area

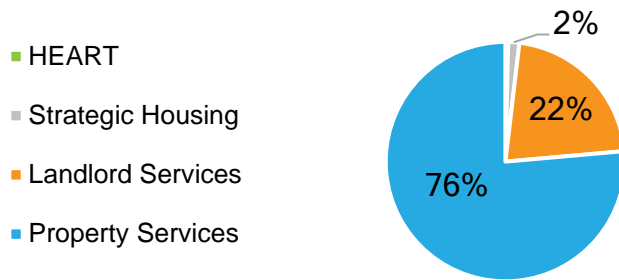
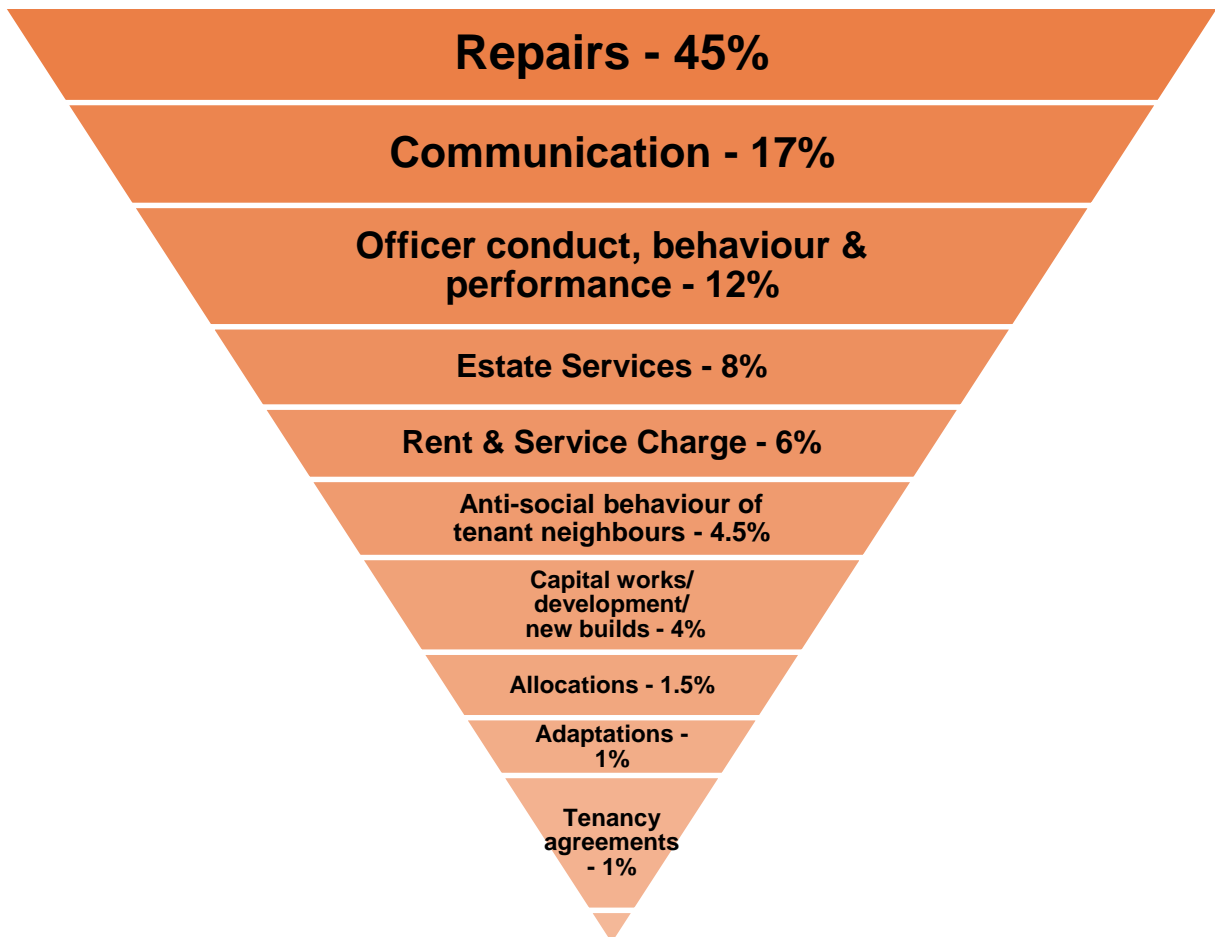
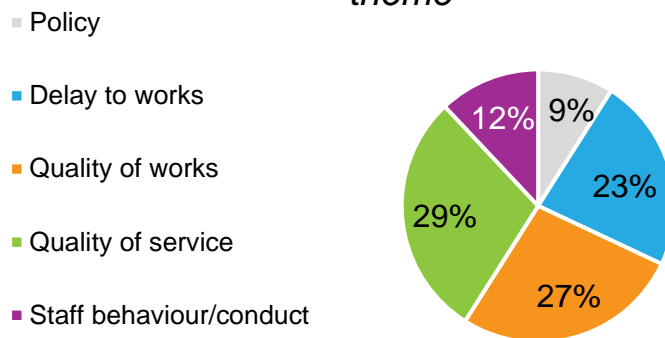


Figure 2. Complaints received by theme



32.2% of all formal Stage 1 complaints received were upheld/partially upheld. 60% of upheld complaints related to repairs, which included dissatisfaction with delays in works, the quality of works undertaken, and the quality of services provided.

Stage 2 Complaints

Figure 3 shows the breakdown of Stage 2 complaints by service area. The largest number of escalated complaints were received by Property Services.

Figure 3: Escalated complaints by service area

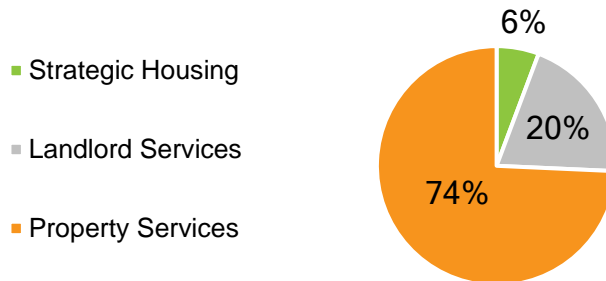
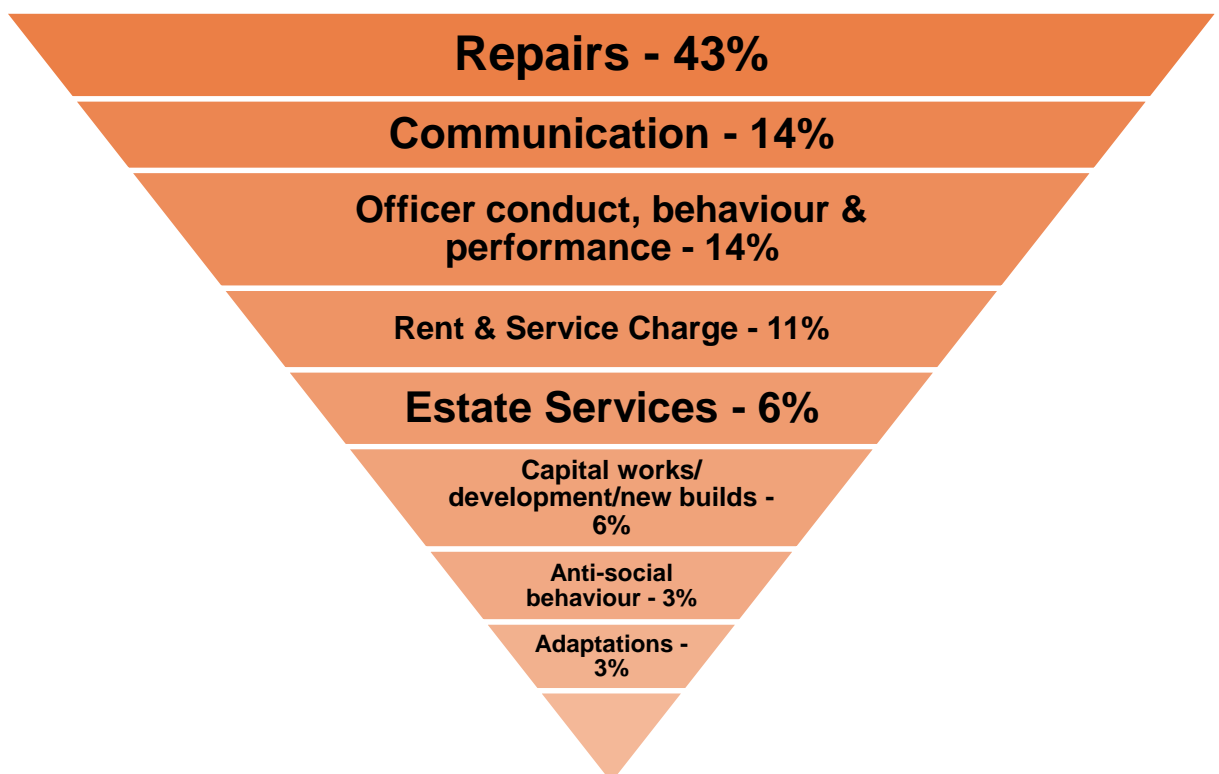
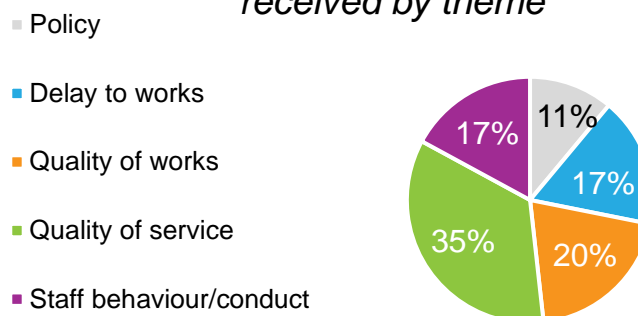


Figure 4 shows escalated complaints received by theme.

As with Stage 1, the top three areas requiring greater consideration and improvement are 1) repairs, 2) communication and 3) officer conduct, behaviour and performance.

Figure 4: Escalated complaints received by theme



Complaints referred to the Housing Ombudsman

During 2023/24 six cases were investigated and concluded by the Housing Ombudsman. The Ombudsman found fault with two cases, both relating to repairs, and a total of **£3,095.94** was ordered to be paid by the Council in compensation.

The Complaint Handling Code Self-Assessment is attached at [Appendix A](#).

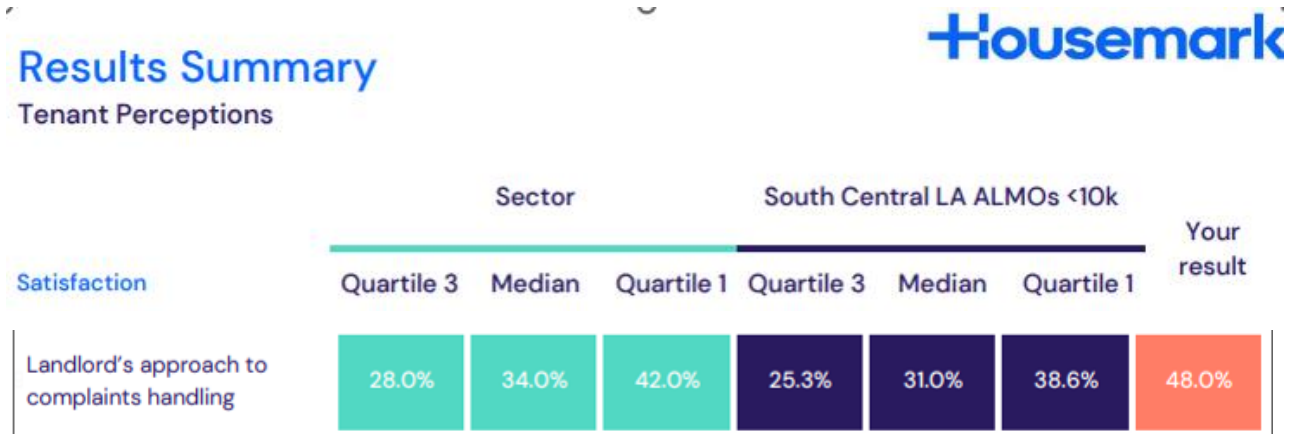


LEARNING & IMPROVEMENT

Tenant Satisfaction Measures (TSM) indicate that **49.96%** of complainants were either very satisfied or fairly satisfied with the Council's approach to complaint handling throughout 2023/2024. The next Tenant Satisfaction Perception survey will be sent out to tenants in June 2024 with a closing date of September 2024.

Benchmarking Against Peers

The Council is a member of [Housemark](#), which is a leading data and insight company for the UK housing sector. To help their members understand TSM results in context, they invited English registered providers to take part in a project to compare data during October 2023. In total, **189** landlords took part in this exercise, managing around 2.2 million properties – half of all social housing in England. Based upon results up to the **mid-point in the year (April-Sept 2023)**, the report is exclusive to participating landlords and shows our results compared to national figures and a peer group of similar organisations. The results relating to satisfaction with complaints handling are as follows:



This indicates that with a satisfaction result of **49.96%** Nuneaton and Bedworth Borough Council was exceeding top quartile performance at the mid-point in the year. However, the Council recognises that it has more to do to further improve its approach and learning in relation to complaints.



Compliments

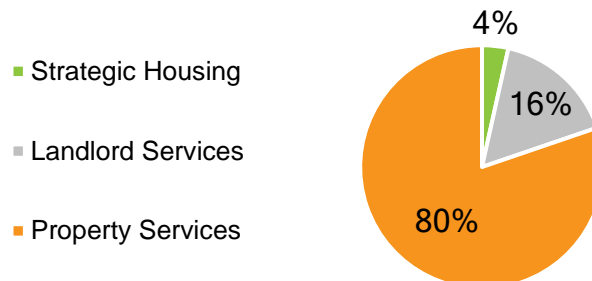
A total of **86** compliments were received during the period 1st April 2023 to 31st March 2024.

Figure 5 shows a breakdown of compliments received by service area.

51% of compliments received related to the quality of works.

49% of compliments received related to good customer care.

Figure 5: Compliments received by service area



Complaint Handling Improvements

During 2023/24, internal complaint handling procedures and processes were reviewed against the Housing Ombudsman's Complaint Handling Codes 2022 and 2024. As a result the Council has:

- reviewed and updated its complaint handling policy and procedures;
- provided additional resources to carry out more in-depth analysis and reporting of complaint handling performance, themes and trends;
- provided additional training to complaint handlers;
- improved the quality of responses;
- improved communications to tenants;
- improved system reporting capabilities; and
- introduced a reporting suite of KPI's so that complaint trends can be scrutinised.

Service Area Improvements

The Council seeks to learn from complaints and pursues the implementation of service improvements/changes following complaint outcomes. During 2023/24 the following service improvement actions were carried out by the various housing teams.



LANDLORD SERVICES

- In August 2023, the Housing Ombudsman ordered the Council to pay two of its tenants compensation as we failed to meet some of our repair obligations. In addition, our handling of those complaints was unsatisfactory. Those complaints highlighted the need for the Council to introduce a new [Decant Policy](#) so that all staff and tenants have a clear understanding of when a move to another property will be offered and in what circumstances. This provides clarification for our tenants and a better understanding for staff. This policy is now published on the Council's website.
- Following noise complaints at a particular block of flats, the Council introduced noise assessments to understand the noise transference between properties. In addition, we improved the sound proofing insulation to minimise disturbance. This will ensure that any current tenants and new tenants moving into the block of flats, will have minimal disturbance from tenants living in the flat above them.
- The team have received an increased amount of hoarding complaints which have also resulted in unkempt gardens. As a result, the Council has facilitated external training for the Landlord Services Team, in order to assist in the knowledge of dealing with these sometimes very complex cases. This will also ensure that cases such as these are dealt with efficiently and effectively to improve the wider neighbourhood and offer support to those tenants who are struggling to maintain their tenancies.

PROPERTY SERVICES

- Following a complaint from a tenant who complained that the Council had failed to take account of his working pattern when scheduling the work required to the building; failed to understand the impact those works had upon him personally, causing suffering and loss of income; failed to discuss any appropriate alternative accommodation arrangements that may have alleviated the disruption he experienced; failed to communicate satisfactory and failed to address any of our tenants concerns in a timely and appropriate manner, the Council recognised the following learning points and made the following changes to our service:

- Letters advising tenants of works to buildings will now ask them to contact us directly if they believe those works will interrupt their daily life/work needs. This will allow for an early conversation to identify appropriate mitigations for the tenant, particularly where works to buildings are expected to continue for an elongated period of time. We will also arrange information sessions for tenants out on site providing an opportunity for tenants to ask questions, raise any concerns they may have, and allow us to ensure we are able to take account of those issues when undertaking any works.



Supporting Tenants Around Neighbourhoods
STAN vehicle

- Ongoing Complaint Handling training for all relevant staff to be undertaken to ensure an improved response from the Council when tenants raise concerns; a quality check of those responses will be undertaken to ensure they are appropriate and properly address the concerns raised.
- As a result of complaints made from several tenants living in one particular block of flats, in respect of the Council's operatives leaving their work vans in the car park when they are not working onsite, a meeting was held with the Tenancy Management Officers and Tenancy Management & Engagement Team Leader, the Performance Officer and the relevant tenants to discuss the issues. Following the meeting new signage was erected in the car park and instructions were given to all operatives to advise them not to park there when carrying out works nearby. This ensured that tenants were able to park their vehicles without obstruction.
- The third most common complaint the Council received in 2023/2024 was in connection with the attitude, conduct and behaviour of some of the Council's operatives. In order to improve in this area, all operatives have attended Front Line Communication training to further develop their communication skills and emotional intelligence so that they are equipped to deal with difficult conversations and situations.

Further training such as ‘*Understanding your customer and the experience they need*’ is planned throughout 2024/2025.

CUSTOMER SERVICES

- In October 2023, the Council’s Customer Service team was awarded Customer Service Excellence accreditation. The [Customer Service Excellence](#) quality mark aims to make a tangible difference to service users by encouraging organisations to focus on their individual needs and preferences. The Council’s Customer Service team was recognised as achieving Customer Service Excellence assessed against the five accreditation criteria outlined below:
 - Customer Insight.
 - The Culture of the organisation.
 - Information and access.
 - Delivery.
 - Timeliness and quality of service.

BUILDING
a better
BOROUGH



Nuneaton & Bedworth



Working in partnership,
restoring pride in our borough

2024/25 Improvement Action Plan

Action Ref.	Improvement Action	Officer Responsible	Completion Deadline
1.	Carry out a programme of training for all housing staff to undertake and in house refresher customer services training. Officers dealing with complaints are to receive external complaint handling training, e.g. Mary Gober, Housing Quality Network, Dispute Resolution (Housing Ombudsman Centre for Learning / Landlord Learning Hub).	Assistant Director of Social Housing & Community Safety	30 th September 2024
2.	Utilise the Supporting Tenants Around Neighbours (STAN) vehicle to engage with tenants in their communities. This will provide tenants with an opportunity to express views on any issues of concern, but also for council staff to discuss things such as building investment work including roofing programmes, window and door programmes, and paying rent, etc.	Landlord Services Manager / Tenancy Management & Engagement Team Leader / Tenant Engagement Officers	30 th September 2024
3.	Introduce a Housing Complaint Remedy & Compensation Policy	Assistant Director of Social Housing & Community Safety	30 th September, 2024
4.	Carry out a review of the process/handling of formal complaints made via Councillors through the Member Enquiry online portal.	Assistant Director of Social Housing & Community Safety	30 th September 2024
5.	Establish a group of tenants to review complaint outcomes and advise whether remedies have been satisfactory.	Landlord Services Manager / Tenancy Management & Engagement Team Leader / Tenant Engagement Officers	31 st December 2024
6.	Introduce a new Tenant Engagement Strategy, following consultation throughout July.	Landlord Services Manager	31 st March 2025
7.	Preparatory work towards Tenant Participation Advisory Service Accreditation.	Landlord Services Manager	31 st March 2025

8.	Undertake work required to achieve anti-social behaviour Resolve Standard Accreditation.	ASB Team Leader	31 st March 2025
9.	Review the complaint handling ITC system to identify improvements to reporting capabilities.	Business Performance Officer	31 st March 2025

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	<p>A complaint must be defined as:</p> <p><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></p>	Yes	<p>NBBC Complaint Policy & Procedure – Section 4.1</p> <p>Tenant Newsletter June 2024</p> <p>NBBC Website – Council Housing Complaint Page</p>	<p>The Council recognises the difference between a complaint and service request, ie where a resident is unhappy with a situation that they wish to have rectified or complaint about a service they have or have not received.</p> <p>This is clearly set out in Section 4.1 of the Housing Complaints Policy and Procedure which is available on the Council’s website and last updated in March 2024.</p> <p>Definitions are outlined on page 7 of the Council’s tenant newsletter, InHouse - June 2024 edition.</p> <p>Definitions are published on the Council’s Housing Complaint web page.</p>
1.3	A resident does not have to use the word ‘complaint’ for it to be treated as such. Whenever a resident expresses	Yes	NBBC Complaint Policy & Procedure – Section 4.7	This is clearly set out in Section 4.7 of the Housing Complaints Policy and

	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.			Procedure which is available on the Council's website and last updated in March 2024.
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	NBBC Complaint Policy & Procedure – Sections 4.1 and 4.4 NBBC Website – Council Housing Complaint Page Tenant Newsletter June 2024	<p>The Council recognises the difference between a complaint and service request where a resident is unhappy with a situation that they wish to have rectified and complaint about a service they have or have not received.</p> <p>This is clearly set out in Sections 4.1 and 4.4 of the Housing Complaints Policy and Procedure which is available on the Council's website and last updated in March 2024.</p> <p>Definitions are outlined on page 7 of the Council's tenant newsletter, InHouse - June 2024 edition.</p> <p>Definitions are published on the Council's Housing Complaint web page.</p>

1.5	A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains.	Yes	<p>NBBC Complaint Policy & Procedure – Section 4.4</p> <p>A sample of cases on the housing management system can be accessed as evidence if necessary.</p>	<p>This is clearly set out in Section 4.4 of the Housing Complaints Policy and Procedure which is available on the Council's website. It was last updated in March 2024</p> <p>The Council's Housing Management system can evidence that a service request continues to be delivered when a customer has a complaint logged.</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	<p>NBBC Complaint Policy & Procedure – Section 5</p> <p>ASB Surveys</p> <p>Email footer</p>	<p>This is clearly set out in Section 5.0 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.</p> <p>A TSM survey is scheduled to be circulated in June 2024 will contains details for residents on how to pursue a complaint. Anti-social behaviour surveys also carry the same information.</p> <p>Officer email footers provide details of how to contact the</p>

				Housing Ombudsman and how to complain to the Council.
--	--	--	--	---

Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.1	Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint they must be able to evidence their reasoning. Each complaint must be considered on its own merits	Yes	NBBC Complaint Policy & Procedure – Section 4.5 and 4.6 Annual Housing Complaint Performance & Improvement Report 2023/24.	<p>This is clearly set out in Sections 4.5 and 4.6 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.</p> <p>As reported in the Annual Housing Complaint Performance & Improvement Report, all submitted complaints in 2023/24 were investigated and none rejected.</p>
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 	Yes	NBBC Complaint Policy & Procedure – Section 4.5	<p>This is clearly set out in Sections 4.5 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.</p>

	<p>Particulars of Claim, having been filed at court.</p> <ul style="list-style-type: none"> • Matters that have previously been considered under the complaints policy. 			
2.3	<p>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.</p>	Yes	<p>NBBC Complaint Policy & Procedure – Section 4.5</p>	<p>This is clearly set out in Section 4.5 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.</p> <p>Complaint investigators are given discretion to consider complaints on an individual basis.</p>
2.4	<p>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.</p>	Yes	<p>NBBC Complaint Policy & Procedure – Section 4.5</p> <p>Annual Housing Complaint Performance & Improvement Report 2023/24.</p>	<p>As reported in the Annual Housing Complaint Performance & Improvement Report all submitted complaints during 2023/24 were investigated and none rejected, however this is clearly set out in Section 4.5 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.</p>

2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	NBBC Complaint Policy & Procedure – Section 4.5 Annual Housing Complaint Performance & Improvement Report 2023/24	As reported in the Annual Housing Complaint Performance & Improvement Report all submitted complaints during 2023/24 were investigated and none rejected, however this is clearly set out in Section 4.5 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.
-----	--	-----	--	---

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	NBBC Complaint Policy & Procedure – Section 5 Annual Housing Complaint Performance & Improvement Report 2023/24 NBBC Website – Council Housing Complaints Page Tenant Newsletter June 2024 Equality Impact Assessment - Screening Vulnerable Persons Policy	<p>Details of how to make a formal complaint to the council are published on the Council's website, included as standard in newsletters, in email footers and via the tenant portal.</p> <p>This is clearly set out in Section 5 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.</p> <p>The Council has a process for identifying vulnerable persons and will ensure that communication needs are met.</p>
3.2	Residents must be able to raise their complaints in any way and with any member of staff. All staff must be aware of the complaints process and be able to pass details of the complaint to the appropriate person within the landlord.	Yes	NBBC Complaint Policy & Procedure – Section Staff training records	<p>Complaint e-learning forms part of the Customer Services staff mandatory induction training along with frontline staff communication training covering how to communicate professionally</p>

				<p>with our customers, including those making complaints.</p> <p>Our front-line teams are trained to recognise what is a request for service compared to where there has been a potential service failure. If in any doubt, this can be checked with our Customer Experience Officer, who will confirm this.</p>
3.3	<p>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.</p>	Yes	<p>Annual Housing Complaint Performance & Improvement Report 2023/24</p> <p>Tenant Newsletter June 2024</p> <p>NBBC Website – Make Things Right</p>	<p>We welcome feedback from our customers, including complaints and compliments and carry out STAR surveys, TSM Surveys and other perception surveys</p> <p>The Council is supporting the Governments 'Make Things Right' campaign by improving the layout of information available on our website so complaint information is easily found.</p>
3.4	<p>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</p>	Yes	<p>NBBC Complaint Policy & Procedure – Section 6</p>	<p>This is clearly set out in Section 6 of the Housing Complaints Policy and Procedure which is available on the Council's</p>

	timeframes for responding. The policy must also be published on the landlord's website.			website and was last updated in March 2024.
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	NBBC Complaint Policy & Procedure – Sections 1.2 & 7 NBBC Website – Council Housing Complaints Page	This is clearly set out in Sections 1.2 and 7 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any meeting with the landlord.	Yes	NBBC Complaint Policy & Procedure – Section 4	This is clearly set out in Section 4 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.
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	NBBC Complaint Policy & Procedure – Section 7 NBBC website – Customer Feedback Page Housing InHouse Newsletter – page 7. Surveys Response letter templates Email banner	This is clearly set out in Section 7 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024. The Housing Ombudsman Service contact details are also included on the Housing page of Council's website, on surveys, letter templates and on officer email signatures.

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	Annual Housing Complaint Performance & Improvement Report 2023/24 Cabinet agenda and minutes Job descriptions	The 'complaint officer' role is fulfilled by a team of officers. The Assistant Director of Social Housing & Community Safety is responsible for ensuring complaints are reported to MRC, Housing & Communities Overview & Scrutiny Panel, Leadership Board & Senior Management Team. The Corporate Customer Experience Officer acts as the corporate lead contact with the Housing Ombudsman and Local Government & Social Care Ombudsman.
4.2	The complaints officer/team must have access to staff at all levels to facilitate the prompt resolution of complaints. They must also have the authority and	Yes	Annual Housing Complaint Performance & Improvement Report 2023/24	All complaints are investigated by Team Leaders at stage one and Managers/Head of Services/ Directors at stage

	autonomy to act to resolve disputes promptly and fairly.		Service Manager/Team Leaders have the authority.	two. The Customer Experience Officer and Housing & Community Safety Business Performance Officer act in supporting capacity and monitor that complaints are resolved promptly and fairly.
4.3	Landlords are expected to prioritise complaint handling and a culture of learning from complaints. All relevant staff must be suitably trained in the importance of complaint handling. It is important that complaints are seen as a core service and must be resourced to handle complaints effectively	Yes	NBBC Complaint Policy & Procedure – Sections 2, 3 & 8.	<p>This is clearly set out in Sections 2, 3 and 8 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.</p> <p>All housing managers and team leaders have attended dispute resolution training via the Housing Ombudsman Service.</p> <p>Complaint Handling training for all staff will be completed by the end of Q2 2024/2025.</p>

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	NBBC Complaint Policy & Procedure NBBC Website - Customer Feedback Housing InHouse Newsletter – page 7.	The Council's Housing Complaints Policy and Procedure is available on the Council's website and was last updated in March 2024.
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	NBBC Complaint Policy & Procedure – Section 6	This is clearly set out in Section 6 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.
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	NBBC Complaint Policy & Procedure – Section 6 Housing InHouse Newsletter – page 7.	This is clearly set out in Section 6 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.
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	Yes	NBBC Complaint Policy & Procedure – Section 4.7	This is clearly set out in Section 4.7 of the Housing Complaints Policy and Procedure which is available on the Council's

	expected to go through two complaints processes.			website and was last updated in March 2024.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	NBBC Complaint Policy & Procedure – Section 4.7	This is clearly set out in Section 4.7 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.
5.6	When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. The Code will refer to this as “the complaint definition”. If any aspect of the complaint is unclear, the resident must be asked for clarification.	Yes	Response letter templates NBBC Complaint Policy & Procedure – Section 6.6 & 6.12	Letter templates have been updated to ensure that the Council understands the nature of the complaint and the outcome the tenant is seeking. This is clearly set out in Sections 6.6 and 6.12 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.
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	Complaint response templates NBBC Complaint Policy & Procedure – Section 6.5	Letter templates have been updated to ensure that the Council clarifies their understanding of the nature of the complaint. Clarification can also be sought from the tenant by the complaint investigator.

				This is clearly set out in Section 6.5 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.
5.8	<p>At each stage of the complaints process, complaint handlers must:</p> <ol style="list-style-type: none"> deal with complaints on their merits, act independently, and have an open mind; give the resident a fair chance to set out their position; take measures to address any actual or perceived conflict of interest; and consider all relevant information and evidence carefully. 	Yes	<p>NBBC Complaint Policy & Procedure – Section 2</p> <p>NBBC Values</p> <p>Declarations of Interest Form</p> <p>NBBC Privacy Notice</p>	<p>This is clearly set out in Section 2 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.</p> <p>The Council's Values are included in mandatory training for all staff and are:</p> <ul style="list-style-type: none"> • Service for our customers • Integrity in our actions • Accountability for performance • Cooperation with Councillors, colleagues & partners • Objectivity in our decisions • Efficiency to keep costs down

				<ul style="list-style-type: none"> Confidence to try new things out <p>All colleagues will receive customer service training by the end of Q2 2024/2025 and will be empowered to put things right through taking responsibility and ownership.</p> <p>The Housing & Community Safety Business Performance Officer reviews all complaint responses. All investigations and responses have independent oversight and quality assurance.</p> <p>All colleagues make an annual declaration of any potential conflicts of interest.</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	NBBC Complaint Policy & Procedure – Section 6	This is clearly set out in Section 6 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.
5.10	Landlords must make reasonable adjustments for residents where	Yes	NBBC Complaint Policy & Procedure – Sections 1 & 3	This is clearly set out in Sections 1 and 3 of the

	<p>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.</p>		<p>NBBC Website - Customer Feedback</p> <p>Vulnerable Persons Policy</p> <p>Reasonable Adjustment Policy</p>	<p>Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024</p> <p>The Council has also implemented a Vulnerable Persons Policy to ensure that the voices of vulnerable customers are heard and that vulnerabilities and special communication needs are managed efficiently on the Housing Management System.</p> <p>A reasonable adjustment policy is in the process of being drafted and will be operational by the end of 2024.</p> <p>A working group has been set up to ensure that the record of vulnerable customers is reviewed and updated on a regular basis.</p>
5.11	<p>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</p>	Yes	<p>NBBC Complaint Policy & Procedure – Section 4</p>	<p>This is clearly set out in Section 4 of the Housing Complaints Policy and Procedure which is</p>

	clearly set out these reasons, and they must comply with the provisions set out in section 2 of this Code.			available on the Council's website and was last updated in March 2024.
5.12	A full record must be kept of the complaint, and the outcomes at each stage. This must include the original complaint and the date received, all correspondence with the resident, correspondence with other parties, and any relevant supporting documentation such as reports or surveys.	Yes	Evidence available from systems.	All complaints are logged on the Granicus System. All exchange of contacts are recorded on this platform throughout the complaints process, however telephone calls received etc are logged on the Housing Management System or on the Council's content management system.
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	NBBC Complaint Policy & Procedure – Section 8	This is clearly set out in Section 8 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024. The Council is in the process of drafting a remedy policy, which should receive a Cabinet decision by end of July 2024.
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	Yes	NBBC website – Report Anti-social behaviour Anti-social Behaviour Policy	The Council's tenancy agreement highlights that it will deal with any anti-social behaviour displayed by their

	putting any restrictions in place and must keep restrictions under regular review.		Anti-social Behaviour Strategy Tenancy Agreements NBBC Website – Equality & Diversity	<p>tenants or their representatives.</p> <p>The new ASB Policy and Strategy are currently being reviewed and will be operational by the end of August 2024.</p> <p>For persistent behaviour the Equality Safeguarding Officer will write to the complainant/tenant to explain that they will be monitor all responses going forward and will be provided with a single point of contact for all ongoing correspondence.</p>
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	NBBC Website – Equality & Diversity	<p>For persistent behaviour the Equality Safeguarding Officer will write to the complainant/tenant to explain that they will be monitor all responses going forward and will be provided with a single point of contact for all ongoing correspondence.</p> <p>The Council is aware of it's responsibilities under the</p>

				<p>Equality Act 2010 and is committed to equality, diversity and inclusion. We will endeavour to provide a service that seeks to meet the needs of a particular individual or household and ensure no one is disadvantaged in accessing our services. We recognise that some of our customers may have permanent or transitory vulnerabilities and where customers require additional support, we will endeavour to make reasonable adjustments.</p>
--	--	--	--	--

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	NBBC Complaint Policy & Procedure – Section 6	<p>This is clearly set out in Section 6 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.</p> <p>The Housing Management System will be checked when responding to a complaint to determine if a tenant has any recorded vulnerabilities before a response is sent.</p>
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	NBBC Complaint Policy & Procedure – Section 6.2 Response letter templates Performance Reports	<p>This is clearly set out in Section 6.2 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.</p> <p>Reports from the system can demonstrate this is being achieved.</p>

6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	NBBC Complaint Policy & Procedure – Section 6.4 Annual Housing Complaint Performance & Improvement Report 2023/24. Housing InHouse Newsletter – page 11. Performance Reports	This is clearly set out in Section 6.4 of the Housing Complaints Policy and Procedure which is available on the Council’s website and was last updated in March 2024. Reports from the system can demonstrate this is being achieved.
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident.	Yes	Extension letter template Annual Housing Complaint Performance & Improvement Report 2023/24. NBBC Complaint Policy & Procedure – Section 6.4	This is clearly set out in Section 6.4 of the Housing Complaints Policy and Procedure which is available on the Council’s website and was last updated in March 2024.
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	Extension letter template NBBC Complaint Policy & Procedure – Section 6.4	This is clearly set out in Section 6.4 of the Housing Complaints Policy and Procedure which is available on the Council’s website and was last updated in March 2024.
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	Yes	NBBC Complaint Policy & Procedure – Section 6.4	This is clearly set out in Section 6.4 of the Housing Complaints Policy and Procedure which is

	the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.		Annual Housing Complaint Performance & Improvement Report 2023/24.	available on the Council's website and was last updated in March 2024. This is demonstrated through the response times of Stage 1 and Stage 2 complaints as detailed in the Annual Housing Complaint Performance & Improvement Report 2023/24.
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	NBBC Complaint Policy & Procedure – Section 6.6 Response letter templates	This is clearly set out in Section 6.6 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024. The revised complaint letter response templates ensure that all elements of the complaint are investigated and provide a clear reasons for decisions made.
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	Yes	Can be evidenced through a sample of cases	The complaint handling team will check the Granicus system to see if there are any open Stage 1 complaints and if new information is related then

	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.			this will be passed on to the investigating officer. If any new issues are raised after a Stage 1 has been issued, then a new Stage 1 complaint will be opened.
6.9	<p>Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language:</p> <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 stage 2 if the individual is not satisfied with the response. 	Yes	<p>NBBC Complaint Policy & Procedure – Section 6.6</p> <p>Response letter templates</p>	<p>This is clearly set out in Section 6.6 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.</p> <p>The Council follows the Housing Ombudsman Service complaint response templates guidance and ensures comprehensive response is shared with the customer.</p> <p>Each response includes</p> <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;

				<p>f. details of any outstanding actions; and g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</p> <p>Templates provide a framework to ensure key information is included. Complaint responses are all individual.</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	NBBC Complaint Policy & Procedure – Section 6.9 & 6.14 Response letter templates	<p>This is clearly set out in Section 6.9 and 6.14 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.</p> <p>The response letter states that it is the final response at Stage 2.</p>
6.11	Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaints procedure	Yes	NBBC Complaint Policy & Procedure – Section 6.10 Response letter templates	<p>This is clearly set out in Section 6.10 of the Housing Complaints Policy and Procedure which is</p>

	within five working days of the escalation request being received.			available on the Council's website and was last updated in March 2024. Reports from the system can demonstrate this is being achieved.
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	NBBC Complaint Policy & Procedure – Section 6.9 Response letter templates	This is clearly set out in Section 6.9 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	NBBC Complaint Policy & Procedure – Section 6.9	This is clearly set out in Section 6.9 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024. This can be evidenced through a sample of cases on request.
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	NBBC Complaint Policy & Procedure – Section 6.11 Annual Housing Complaint Performance & Improvement Report 2023/24.	This is clearly set out in Section 6.11 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024

			Housing InHouse Newsletter – page 11.	Reports from the system can demonstrate this is being achieved.
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	NBBC Complaint Policy & Procedure – Section 6.11 Extension letter templates Annual Housing Complaint Performance & Improvement Report 2023/24.	This is clearly set out in Section 6.11 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024. Reports from the system can demonstrate this is being achieved.
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	NBBC Complaint Policy & Procedure – Section 6.14 Extension letter templates	This is clearly set out in Section 6.14 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024 Reports from the system can demonstrate this is being achieved.
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	Yes	NBBC Complaint Policy & Procedure – Section 6.11 Annual Housing Complaint Performance & Improvement Report 2023/24.	This is clearly set out in Section 6.11 of the Housing Complaints Policy and Procedure which is available on the Council's

	actioned promptly with appropriate updates provided to the resident.		Evidence available from systems.	website and was last updated in March 2024. This is demonstrated through the response times of Stage 1 and Stage 2 complaints as detailed in the Annual Housing Complaint Performance & Improvement Report 2023/24.
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	NBBC Complaint Policy & Procedure – Section 6.12 Response letter templates Can be evidenced through a sample of cases	This is clearly set out in Section 6.12 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to the Ombudsman	Yes	NBBC Complaint Policy & Procedure – Section 6.12 Response letter templates	This is clearly set out in Section 6.12 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024. The Council follows the Housing Ombudsman Service complaint response templates guidance and ensures comprehensive

	Service if the individual remains dissatisfied.			<p>response is shared with the customer.</p> <p>Each response includes</p> <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 if the individual is not satisfied with the response. <p>Templates provide a framework to ensure key information is included. Complaint responses are all individual</p>
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	<p>NBBC Complaint Policy & Procedure – Section 6.14</p> <p>Can be evidenced through a sample of cases</p>	<p>This is clearly set out in Section 6.14 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024</p>

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; • Providing a financial remedy; • Changing policies, procedures or practices. 	Yes	<p>NBBC Complaint Policy & Procedure – Section 8</p> <p>Response letter templates</p> <p>Dispute resolution online training.</p> <p>Remedy Policy</p>	<p>This is clearly set out in Section 8 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024.</p> <p>The Council is in the process of drafting a remedy policy, which should receive a Cabinet decision by end of July 2024.</p>
7.2	<p>Any remedy offered must reflect the impact on the resident as a result of any fault identified.</p>	Yes	<p>NBBC Complaint Policy & Procedure – Section 8</p> <p>Remedy policy needed to bring consistency and training</p>	<p>This is clearly set out in Section 8 of the Housing Complaints Policy and Procedure which is available on the Council's website and was last updated in March 2024</p> <p>In order to ensure consistency of outcomes,</p>

				the Council is in the process of drafting a remedy policy, which should receive a Cabinet decision by end of August 2024.
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	Response letter templates	In order to ensure consistency of outcomes, the Council is in the process of drafting a remedy policy, which should receive a Cabinet decision by end of August 2024.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Remedy Policy	In order to ensure consistency of outcomes, the Council is in the process of drafting a remedy policy, which should receive a Cabinet decision by end of August 2024.

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> <ul style="list-style-type: none"> a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. 	Yes	<p>NBBC Complaint Policy & Procedure – Section 10</p> <p>Nuneaton and Bedworth Borough Council Annual Housing Complaint Performance & Improvement Report</p> <p>Housing & Communities Overview & Scrutiny agenda & minutes – 6th June 2024.</p> <p>Cabinet agenda & minutes – 19th June 2024.</p>	<p>This is clearly set out in Section 10 of the Housing Complaints Policy and Procedure which is available on the Council's website and last updated in March 2024.</p> <p>The Council's Annual Complaint Handling Performance & Improvement report is available from the Council's website.</p> <p>The report has been scrutinised by the Portfolio Holder for Housing (MRC), considered by the Housing & Communities Overview & Scrutiny Panel and the Council's Executive at a Cabinet meeting held on 19th June 2024.</p>
8.2	The annual complaints performance and service improvement report must be reported to the landlord's governing	Yes	NBBC Complaint Policy & Procedure – Section 10	This is clearly set out in Section 10 of the Housing Complaints Policy and

	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.		<p>Nuneaton and Bedworth Borough Council Annual Housing Complaint Performance & Improvement Report</p> <p>Cabinet agenda & minutes – 19th June 2024.</p>	<p>Procedure which is available on the Council's website and last updated in March 2024.</p> <p>The Council's Annual Complaint Handling Performance & Improvement report is available from the Council's website.</p> <p>The Annual Report was presented for consideration to the Executive at its Cabinet meeting held on 19th June 2024.</p> <p>The response from the Executive is also published on the Council's website.</p>
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	<p>NBBC Complaint Policy & Procedure – Section 10</p> <p>Nuneaton and Bedworth Borough Council Annual Housing Complaint Performance & Improvement Report</p>	<p>This is clearly set out in Section 10 of the Housing Complaints Policy and Procedure which is available on the Council's website and last updated in March 2024.</p> <p>A self-assessment has been carried out on two previous</p>

				occasions in 2022/2023 and 2023/2024. Further self-assessments will be carried out as and when required.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	Noted	Should this be requested by the Housing Ombudsman, the Council will carry out the required review and update of the self-assessment.
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	Latest news – Nuneaton and Bedworth Borough Council Nuneaton & Bedworth Borough Council Nuneaton Facebook	Should the situation arise, tenants will be informed via the Council's website and social media, and also via the Tenant Portal once live.

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	Nuneaton and Bedworth Borough Council Annual Housing Complaint Performance & Improvement Report	<p>Service improvement results from complaints are included in the Annual Housing Complaint Performance & Improvement Report.</p> <p>An improvement action plan for 2024/25 is also included in the Annual Report. The action plan will be monitored on a monthly basis to ensure actions are completed.</p>
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>Nuneaton and Bedworth Borough Council Annual Housing Complaint Performance & Improvement Report</p> <p>Monthly Complaint Analysis Reports</p> <p>Departmental Management Team Minutes</p>	<p>Service improvements resulting from complaints are included in the Annual Housing Complaint Performance & Improvement Report.</p> <p>An improvement action plan for 2024/25 is also included in the Annual Report. The action plan will be monitored to ensure actions</p>

				are completed on a monthly basis. Monthly analysis of housing complaint performance and trends are considered by the Housing Senior Management Team and any improvement suggestions are shared at Team Meetings.
9.3	Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees.	Yes	Cabinet Report – 19th June 2024 Quarterly Complaint Handling Analysis Overview & Scrutiny Reports Tenant Newsletter June 2024 page 11.	Complaint Handling Performance and trends are presented for quarterly scrutiny to the MCR and Housing & Communities Overview & Scrutiny Panel. Complaint performance statistics are also reported in tenant newsletters and to resident panels.
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	Departmental MT Minutes Monthly Analysis Report	The Assistant Director of Social Housing & Community Safety is the senior lead person accountable for complaint handling within the Council's housing service. Complaint Performance data is analysed on a

				monthly basis to identify themes, trends and issues and risks.
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 Agenda and Minutes - 19 th June 2024 MRC Induction Pack Portfolio Holder Training	The delegated Housing Portfolio Holder (who is also the Leader of the Council) is appointed as Member Responsible for Complaints. Training has been carried out with the member on the role of 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.	Yes	Monthly Complaint Analysis Report Housing & Communities Overview & Scrutiny Agenda and Minutes – 6 June 2024 Cabinet Agenda and Minutes - 19 th June 2024 MT Integrated Performance Report	The Assistant Director for Social Housing & Community Safety meets on a monthly basis with the Portfolio Holder for Housing where complaint handling performance and trends are discussed. The Portfolio Holder for Housing provides the Housing & Communities Overview and Scrutiny Panel with complaint performance data on a quarterly basis. This data is also presented to the Senior Management Team and Cabinet.

				The Housing Portfolio Holder is provided administrative support from Committee Services and also has access to Housing Officers at all levels.
9.7	<p>As a minimum, the MRC and the governing body (or equivalent) must receive:</p> <ul style="list-style-type: none"> a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and d. annual complaints performance and service improvement report. 	Yes	<p>Monthly Complaint Analysis Report</p> <p>Housing & Communities Overview & Scrutiny Agenda and Minutes / Work Programme – 6th June 2024.</p> <p>Cabinet Agenda and Minutes – 19th June 2024</p>	<p>The Assistant Director for Social Housing & Community Safety meets on a monthly basis with the Portfolio Holder for Housing where complaint handling performance and trends are discussed.</p> <p>The Portfolio Holder for Housing provides the Housing & Communities Overview and Scrutiny Panel with complaint performance data on a quarterly basis. This data is also presented to the Senior Management Team and Cabinet.</p>
9.8	<p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <ul style="list-style-type: none"> a. have a collaborative and co-operative approach towards resolving complaints, working 	Yes	<p>NBBC Complaint Policy & Procedure</p> <p>Cabinet report – 19th June</p>	The Housing Complaints Policy and Procedure has been adopted by staff in all housing service areas and compliance is monitored.

	<p>with colleagues across teams and departments;</p> <p>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</p> <p>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</p>			
--	--	--	--	--



Housing Complaints Policy

Issued by Housing & Community Safety

March 2024

1. Introduction

- 1.1 Nuneaton and Bedworth Borough Council is committed to providing the highest standard of service to all our customers, however, we acknowledge that despite our best intentions, things do sometimes go wrong. When this happens we want to put things right. We want our customers to be satisfied with our service. We welcome hearing your comments, compliments and complaints, to better understand how you view our services and how we can learn and improve for the future.
- 1.2 This document provides the framework for ensuring that complaints are handled consistently, fairly, effectively, confidentially, in a timely manner, and in line with the obligations set out in the [Housing Ombudsman Service](#) (HOS) Complaint Handling Code. The Code also acts as a guide for tenants setting out what they can and should expect from the Council when they make a formal complaint.
- 1.3 The following procedures explain what to do if you are dissatisfied with the quality of our services, what standards you can expect when you make a formal complaint, and what you can do if you remain dissatisfied.
- 1.4 We will investigate your complaint, give you an explanation and make every effort to resolve the matter as quickly as possible to your satisfaction. If we have made a mistake, or the problem has been caused by us, we will apologise.
- 1.5 This document will apply to all. Nuneaton and Bedworth Borough Council is committed to promoting equality of opportunity and to eliminating unlawful discrimination on the grounds of race, age, disability, gender, sexual orientation, religion, belief, class, financial status and any other difference that can lead to discrimination or unfair treatment.
- 1.6 The Council can produce this document in large print, braille or in a different language if required.
- 1.7 This document will be reviewed every year or on the introduction of new legislation, regulation or good practice guidance.

2. Customer Satisfaction

- 2.1 This document is designed to give satisfaction to our customers, either directly in the way that services are delivered or in the way that their complaints are handled. A customer should expect to receive:
 - a professional, polite and courteous approach;
 - open, friendly and truthful employees;
 - employees should identify themselves by name and job function and be recognised as Council employees;
 - employees should take ownership of an enquiry, not pass customers around;
 - full attention to the complaint or enquiry;

- employees should exercise discretion and confidentiality;
- a clear understanding of what will happen next and an indication of when it will happen including updates on a regular basis, easy to understand responses without jargon, given promptly or within published timescales;
- employees should keep appointments and be on time;
- customers should be aware of their rights and given correct relevant information where it is available;
- customers should know how to make a complaint about the Council's Housing Service if necessary; and
- most importantly all customers should be treated equally in accordance with the Council's Policies, core values and key aims and objectives.

2.2 In return the Council is entitled to expect its customers to deal honestly and openly with it on all matters.

3. Communication

3.1 Good communication, both internally within the Council and externally with its customers, is vital to a successful complaints service.

3.2 It is important that employees have a good understanding of the policies that affect their area of work or operation so that these can be clearly and accurately explained to customers when necessary.

3.3 It is important that our customers understand what can or cannot be done in relation to their problem or complaint. If we cannot help you, we will explain why, and direct you to where you may be able to find further help.

3.4 We encourage, wherever possible, a two-way communication process. Our customers are encouraged to respond:

- if the problem re-occurs;
- if further explanation or clarification is required;
- if a person is dissatisfied; or
- to let us know how we are doing; including positive comments.

3.5 Particular care will be paid to the needs of those customers who find communication difficult due to language barriers or sensory impairment, and appropriate assistance offered.

4. What is a Complaint

4.1 A complaint is any expression of dissatisfaction about the service the Council has delivered, any action or lack of action. The Housing Ombudsman's Complaint Handling Code defines a complaint as:

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 an individual resident or group of residents.

4.2 Complaints may be about:

- the fairness or professionalism of interaction with officers;
- a failure to do something we should have done;
- a refusal to provide a service or the delivery of a poor service;
- the failure to follow the correct policy or procedure;
- an observation about our service or people which requires action; or
- a suggestion about how things can be improved.

4.3 The following issues are **not** defined as a complaint:

- [General comments or feedback.](#)
- [Requests for information.](#)
- An expression of dissatisfaction with services made through a survey.
- [First requests for a service or first reports on faults.](#) See paragraph 4.4 below.
- Occasions where the Council have not been made aware of a customer's dissatisfaction and have not been given an opportunity to resolve the matter.
- Matters that would be more appropriately considered by an insurer.
- Legal proceedings have started, ie details of the claim such as the Claim Form and Particulars of Claim have been filed at court.

4.4 Customers are asked to note that there is a difference between a [service request](#) and a complaint. Service requests are not complaints but will be recorded, monitored and reviewed regularly by the Council. The Housing Ombudsman's Complaint Handling Code states that:

A service request is a request requiring action to provide or improve a service, fix a problem or reconsider a decision.

The Council should be given the opportunity to deal with a service request before a formal complaint is made, however a complaint will be raised if the resident raises dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing.

4.5 We have a duty to accept and deal with your complaint unless there is a valid reason not to do so, for example:

- your complaint falls into one or more of the above exclusions (see paragraph 4.3);
- the issue giving rise to your complaint occurred more than 12 months ago;
- legal proceedings have commenced; or
- the matter has previously been considered under the Council's complaint policy.

- 4.6 If for any reason the Council decides not to deal with your complaint under this procedure, we will provide you with a detailed explanation in writing of the reasons why the matter is not suitable for the complaints process. If you disagree with this outcome you do have the right to take that decision for consideration by the Housing Ombudsman. See Section 7 for details of how to contact the Housing Ombudsman.
- 4.7 Residents have the opportunity to give permission for a representative to deal with their complaint on their behalf. A complaint that is submitted via a third party or representative will be handled in line with this complaint policy and procedure.

5. How to make a formal complaint

5.1 Our priority is to resolve concerns as soon as they come to our attention. The Council encourages any resident or service user who has a concern to first approach the team or member of staff in the relevant service area. If there has been a problem the member of staff should try to resolve it. However, if after raising your concerns you remain dissatisfied with the proposed resolution, you can make a formal complaint to the Council in the following ways:

- Via the [Councils website](#)
- By emailing customer services at customer.services@nuneatonandbedworth.gov.uk
- By contacting an officer directly.
- By telephoning 024 7637 6376.
- By letter.
- In person at the Town Hall by pre-booking an appointment. The Town Hall is open from 10 a.m. – 2 p.m. for pre-booked appointments only.
- By Typetalk (0800 515 152).
- Through your local Councillor, Solicitor, nominated friend or relative.

5.2 The Council can also accept complaints anonymously and will still investigate the matter, even though it cannot respond to the complaint formally.

6. What will happen when I make a complaint?

6.1 When the Council receives a formal complaint from a customer, the nature and type of the complaint is assessed by one of our nominated and trained Complaints Handling Officers, who will:

- clarify with the individual any aspects of the complaint they are unclear about;
- deal with complaints on their merits;
- give the individual a fair chance to set out their position;
- take measures to address any actual or perceived conflict of interest;
- consider all information and evidence carefully; and
- keep the complaint confidential as far as possible, with information only disclosed if necessary to properly investigate the matter.

6.2 An acknowledgement of receipt of the complaint will be sent to the customer **within five working days**, confirming that the complaint has been logged, the complaint definition, and that it has been submitted to the relevant service officer for investigation under **Stage 1** of the complaint procedure.

Stage 1

6.3 Your complaint will be logged and given a unique complaint number which will be used until your complaint is resolved. This ensures that progress of the investigation can be monitored, and will also assist you, if for some reason you need to contact the Council again about the matter.

6.4 In order to resolve the issue as soon as possible, you will receive a response to your complaint as soon as it is known, or within **10 working days** following the case being logged and acknowledged. Exceptionally, for more complex cases, the response time may need to be extended for a **maximum of a further 10 working days**, however for those cases you will be given an explanation as why the extension is required and a clear timeframe for the response.

6.5 If further information is required from you to assist the investigation, the response timeframe will be put on hold until such information has been received. You will be notified once all the necessary information has been received and your complaint has been reopened and progressed further.

6.6 A written response to the complaint will be sent to the customer, addressing all the points raised in the complaint and providing clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate. Any subsequent agreed actions will be tracked and regular updates will be provided to the customer until completion. The written response will contain:

- 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
- details of how to escalate the matter to Stage 2 if the individual is not satisfied with the response.

6.7 If the Council has got something wrong, the complaint will be recorded as being upheld, even if there are elements of the complaint it has not upheld, as it is not appropriate for a complaint to be recorded as partially upheld. See Section 8 on putting things right.

6.8 If an early resolution at Stage 1 has been unsuccessful, a customer can request that the complaint be escalated to a Senior Manager for a formal response under **Stage 2** of the complaints process. Please note: complaints can only be

escalated to Stage 2 once Stage 1 has been completed and at the request of the Customer.

Stage 2

- 6.9 If you are not satisfied with the outcome of your complaint at Stage 1, then you can request that your complaint be escalated to Stage 2 of the complaints procedure. You are not required to explain your reasons for requesting a Stage 2 consideration. Your complaint will now be escalated to a Senior Manager for further investigation and response. The officer considering the complaint at Stage 2 will not be the same person that investigated the matter at Stage 1.
- 6.10 Requests for Stage 2 will be logged and acknowledged within **five working days** of the escalation request being received.
- 6.11 A stage 2 response will be provided as soon as possible or within **20 working days** of your request that the complaint be escalated to Stage 2. Exceptionally, for more complex cases and with a valid reason, the timeframe could be extended a further 20 working days, however this is only with the agreement of the customer.
- 6.12 A written response will be provided to the customer. In some cases it may be appropriate to first respond verbally (via telephone or face to face), followed by a written confirmation of the conversation and outcome. The Stage 2 response will be monitored by the Complaints Officer to ensure it clearly states what decision has been reached and whether the complaint has been **upheld, or partially upheld**. The written response will contain:
- 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
 - details of how to escalate the matter to the Housing Ombudsman Service if the individual remains dissatisfied.
- 6.13 Where a complaint is **not upheld** at Stage 2 the response will provide:
- background information relevant to the complaint; and
 - an explanation of the decision.
- 6.14 The Stage 2 response will be the Council's **final response** and will advise the complainant of their right to escalate matters to the Housing Ombudsman, should they remain dissatisfied.
- 6.15 The Housing Ombudsman's Complaint Handling Code states that:
- A process with more than two stages is not acceptable under any circumstances as this makes the complaint process unduly long and delays access to the relevant Ombudsman.*

7. Contacting the Housing Ombudsman

- 7.1 The Housing Ombudsman considers and investigates complaints about poor service, failure to provide a service and administrative failure of public bodies including local authorities. The Housing Ombudsman can be contacted by a resident at any stage of the complaint process.
- 7.2 If after exhausting Stage 1 and Stage 2 of the complaints process you remain dissatisfied with the way in which your complaint has been handled, you have the right to refer your complaint to the Housing Ombudsman.
- 7.3 If the Ombudsman agrees your complaint aligns with their authority, they will contact the Council and request the information needed to begin an investigation. Once the Ombudsman has completed the investigation, they will issue their findings, known as a determination. The Ombudsman cannot provide a timescale for how long the investigation will take as it varies on a case-by-case basis.
- 7.4 The Housing Ombudsman is on hand to offer support and guidance to Landlords and Customers throughout the complaints process and can be contacted by using the following details:

[The Housing Ombudsman](#)

Complaint form: Fill in the [online complaint form](#)

Email: info@housing-ombudsman.org.uk

Phone: 0300 111 3000 - Calls are recorded for training and monitoring purposes.

Write: Housing Ombudsman Service, PO Box 152, Liverpool L33 7WQ

Fax: 020 7831 1942

8. Putting things right

- 8.1 When a complaint is upheld, the Council will acknowledge things have gone wrong and set out the actions it has already taken or intends to take to put things right. These include:
- Acknowledging where things have gone wrong;
 - Providing an explanation, assistance or reasons;
 - Apologising;
 - Taking action if there has been a delay;
 - Reconsidering or changing a decision;
 - Amending a record;
 - Providing a financial remedy;
 - Changing policies, procedures or practices.
- 8.2 The remedy offer will clearly set out what will happen and by when, in agreement with the resident and will be followed through to completion.

8.3 In regards to compensation, the Council will consider if 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.

9. Relevant Legislation

- The Data Protection Act 1998 & 2018
- The Freedom of Information Act 2000
- The Human Rights Act 1998
- The Equality Act 2010

10. Self-assessment

10.1 The Council will produce and publish an annual complaints performance and service improvement report, along with a response by the governing body.

10.2 The Council will also carry out an annual self-assessment against the Code and will publish the results.

11. Review Date

11.1 Every two years or on the introduction of new legislation, regulation or good practice guidance.

Member Responsible for Complaints (MRC)

Induction Pack

The [Housing Complaint Handling Code](#) requires landlords to have a Member Responsible for Complaints (MRC) on their governing body to provide assurance to the governing body on the effectiveness of its complaints system, including challenging the data and information provided to the Board or equivalent body.

This pack contains details about the role of the Member Responsible for Complaints under the following topics:

- What is a Member Responsible for Complaints?
- Who should the Member Responsible for Complaints be?
- What is the Ombudsman looking for in the Member Responsible for Complaints?
- How can the MRC drive a positive complaints culture in organisations?
- Why is the role so important?
- How engaged in the self-assessment should the role be?
- Expectations for the Member Responsible for Complaints role.
- Other helpful information and guidance.

What is a Member Responsible for Complaints?

The expectation is that the MRC is responsible for ensuring that complaint handling drives service improvement for residents and learning and business improvement for the organisation.

The role of the MRC is to champion a positive complaint handling culture and build effective relationships with complaints teams, residents, its audit and risk committees as well wider teams and the Housing Ombudsman Service.

The MRC should be looking to seek assurances from the complaints team and where appropriate the operational teams that complaints are being managed, change is happening and that residents are being heard through the process.

Who should the Member Responsible for Complaints be?

The Housing Ombudsman, Richard Blakeway, has provided a suite of short videos about the role of the MRC.



What is the Ombudsman looking for in a Member Responsible for Complaints?

The Ombudsman is looking to the MRC to promote a culture of openness and transparency in relation to complaints made by residents. To provide assurance that systems are in place to capture learning from complaints, that governing bodies are engaged with this and to ensure senior level ownership of learning and accountability stemming from complaints.



How can the MRC drive a positive complaints culture in organisations?

The MRC is responsible for creating a culture where senior management regularly review issues and trends arising from complaint handling with themes or trends being assessed and reported to the governing body, which identify potential systemic issues, serious risks or policies and procedures that require revision.

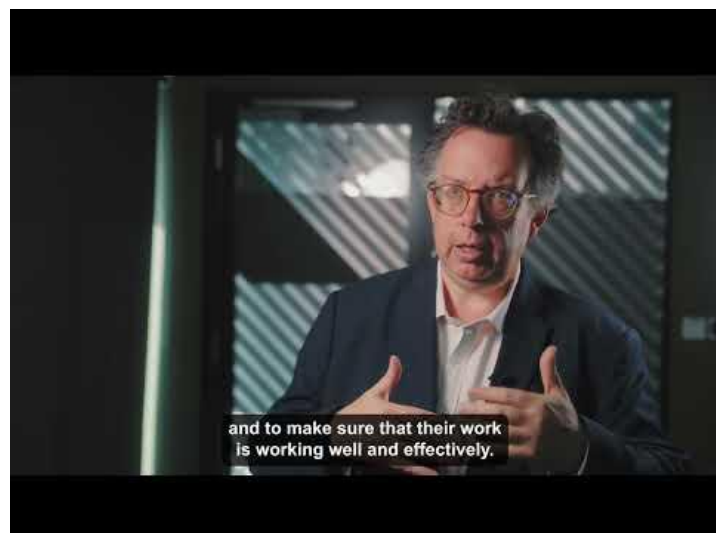


The role should encourage a culture of effective cross-organisational and cross-department learning where operational teams collaborate with each other to produce improved service delivery.

Why is the role so important?

It is essential for landlords to have a positive complaint handling culture and the Member Responsible for Complaints can make sure that happens.

The MRC is responsible for creating a culture where senior management regularly review issues and trends arising from complaint handling with themes or trends being assessed and reported to the governing body, which identify potential systemic issues, serious risks or policies and procedures that require revision.



How engaged in the self-assessment should the role be?

The self-assessment is the key tool for the Member Responsible for Complaints to be assured that the landlord is fulfilling its obligations on the Code.

There are many different ways landlords have used their self-assessments to really analyse their complaint handling performance, such as involving residents. It is really important that the MRC sees the evidence that supports the answers within the self-assessment. The role holder should also be able to help the Chair of the Board to facilitate the subsequent discussion on the self-assessment.



Expectations for the Member Responsible for Complaints role

Purpose

The statutory Complaint Handling Code requires landlords to have a Member Responsible for Complaints on their governing body.

The role is to champion a positive complaint handling culture. To provide assurance to the governing body on the efficacy of its complaints system, including challenging the data and information provided to the Board. To seek assurances from the complaints team and where appropriate the operational teams that complaints are being managed, change is happening and that residents are being heard through the process. To ensure complaint handling promotes service improvement for residents and learning and business improvement for the organisation.

Responsibilities - Governing Body Assurance

1. To promote a culture of openness and transparency where complaints made by residents are seen as form of insight into the how the organisation is managed. To provide assurance that systems are in place to capture learning from complaints and that governing bodies are engaged with this. To ensure senior level ownership of learning and accountability stemming from complaints.
2. To provide assurance to the governing body, through engagement with operational teams, that complaints are valued as an opportunity to learn, to give an early warning of ineffective processes, policies, or behaviours, to identify areas for improvement and to improve awareness and accessibility; and how this is happening across the organisation.
3. To engage with the chair of the audit and risk committee, or equivalent, to discuss any risks emerging from complaints and any recommendations for improvement in service areas which may be relevant to internal audit's activities.
4. To engage in, oversee, and ratify the annual self-assessment against the Complaint Handling Code, providing assurance that an accurate self-assessment is produced and published each year. This may include engaging residents in the self-assessment exercise.
5. To alert the governing body of any concerns they have about the handling of complaints, the substantive issues giving rise to complaints, or the outcome of an individual complaint.
6. To ensure the whole governing body understands its responsibilities to deliver a positive complaint handling culture and that complaints are given the status they deserve within the senior leadership's work.

Responsibilities - Complaint Handling Code

7. To review the communication of the landlord through its complaints to ensure it is empathetic, effective, and appropriate.
8. To gain assurance of the organisation's timely compliance with Housing Ombudsman evidence requirements and orders promoting an organisation wide culture that demonstrates the learning and the changes to services that are provided for residents.
9. To promote a culture where every employee supports effective complaint handling, where complaint handlers have the authority and respect within the organisation to help put things right when they go wrong. This should also extend to where landlords use contractors and other service providers. To have a visible presence that is organisation wide and has access to individual staff members to be able to 'test' that proactive complaint handling is embedded across all staff.
10. To gain assurance following the self-assessment, that the complaints team has the resources available to fulfil its obligations.
11. To receive regular updates on the volume, categories, and outcome of complaints, alongside complaint handling performance and take an inquisitorial approach when reviewing this information. The aim is to ensure that information presented to the governing body, provides sufficient assurance of a well-managed and customer focused complaints handling culture.

Responsibilities - Learning

12. To commission from the executive a self-assessment against Housing Ombudsman Spotlight reports and future good practice and facilitate a discussion with the governing body on how the organisation can learn and improve from its recommendations. This should include consideration of relevant policies and procedures.
13. To require intelligence provided by the Housing Ombudsman is used to develop and improve services, gaining assurance that recommendations are actioned and, where necessary, reviewing policies, procedures and approaches to service delivery following Ombudsman reports.
14. To encourage a culture of effective cross-organisational and cross-department learning where operational teams collaborate with each other to produce improved service delivery.
15. To encourage a culture where senior management regularly review issues and trends arising from complaint handling with themes or trends being assessed and reported to the governing body, which identify potential systemic issues, serious risks or policies and procedures that require revision. To gain assurance that where revision or change is required, this is followed through and communicated to the governing body and that residents are central to any change.

Other helpful information and guidance

For further information and to any queries regarding the role of the MRC, the Housing Ombudsman has published [Frequently Asked Questions](#) on their website.

Best practice guidance for landlords on championing a positive complaints culture and effective involvement of governing bodies - [Effective Involvement of Governing Bodies: Best Practice Guidance for Landlords](#)

[Housing Ombudsman's Centre for Learning.](#)

Housing

Ombudsman Service

Complaint Handling Code

Date published: 08 February 2024

Date applicable: 01 April 2024

Last revised: 17 April 2024

Contents

Foreword	3
Introduction	5
Statutory powers	5
Compliance with the Code	5
Monitoring compliance with the Code	6
The Complaint Handling Code	8
1. Definition of a complaint	8
2. Exclusions	9
3. Accessibility and awareness	9
4. Complaint handling staff	10
5. The complaint handling process	11
6. Complaints stages	13
Stage 1	13
Stage 2	14
7. Putting things right	15
8. Self-assessment, reporting and compliance	16
9. Scrutiny & oversight: continuous learning and improvement	17
Appendix A: Self-assessment form	19
Section 1: Definition of a complaint	20
Section 2: Exclusions	22
Section 3: Accessibility and Awareness	24
Section 4: Complaint Handling Staff	26
Section 5: The Complaint Handling Process	27
Section 6: Complaints Stages	31
Section 7: Putting things right	36
Section 8: Self-assessment, reporting and compliance	38
Section 9: Scrutiny & oversight: continuous learning and improvement	40
Appendix B – Service request or complaint – flow charts	43

Foreword

The heartbeat of this Code is enabling a positive complaints culture across the social housing sector.

This positive culture matters regardless of size or type of landlord. It supports strong resident-landlord relationships. It means things can be put right for residents when they have gone wrong. It helps organisations to develop and improve services. And, perhaps above all, it supports the values of justice and fairness that embodies so much of the sector's social purpose.

This Code considers complaints to be more than transactions. Nonetheless, good complaint handling requires effective procedures and well-trained staff alongside a positive complaints culture that enables those procedures to achieve maximum impact. This Code sets out what landlords must do procedurally to handle complaints. Compliance with the Code is most effective within landlords that operate within established dispute resolution principles: to be fair, puts things right, and learn from outcomes.

Landlords must embrace complaints through increased transparency, accessibility, and complaint handling governance, demonstrating that residents are core to its service delivery and good complaint handling is central to that.

This Code aims to support the earliest resolution of complaints while the matters are still within the landlord's own procedure. This can avoid issues escalating with potentially prolonged detriment to the resident, as well as requiring significantly more time and resource by the landlord to remedy.

This Code provides a guide to residents of what to expect if they make a complaint, as well as improving access and awareness to the procedure when they need it. The adoption of this statutory Code and associated duties ensures residents do not experience a postcode lottery in complaint handling.

Embracing the Code can also empower staff. Involvement in complaint resolution develops staff ownership, decision-making and engagement, and should ensure appropriate resources and tools are deployed to handle complaints. It provides senior staff with essential insight into day-to-day operations, allowing them to assess

effectiveness and identify any organisational risks or issues. Lastly, data collected about complaints can be analysed and used to inform key business decisions to drive improvement in service provision.

Landlords are expected to annually self-assess against the Code, to engage its governance in that exercise and to publish the outcome. We also encourage landlords to see this exercise as an opportunity to engage residents in setting their approach to complaints to drive a positive complaints and learning culture. This approach must be captured by the landlord in a single policy for handling complaints.

The positive engagement of landlords in the Code and its principles has brought focus on the importance of complaints and the advent of this statutory Code will drive further change to the benefit of both residents and landlords.

Introduction

Statutory powers

The Social Housing (Regulation) Act 2023 (the Act) empowered the Housing Ombudsman to issue a code of practice about the procedures members of the Scheme should have in place for considering complaints.

It also placed a duty on the Ombudsman to monitor compliance with a code of practice that it has issued.

The Ombudsman consulted on the Complaint Handling Code (the Code) and our intended approach to the duty to monitor in late 2023. The statutory Code will take effect from 1 April 2024 and our duty to monitor compliance will commence at the same time.

Compliance with the Code

The Ombudsman believes all members must comply with all provisions in the Code as this represents best practice in complaint handling.

Where the Housing Ombudsman finds an organisation has deviated from the Code in policy or practice, it may use its powers to put matters right and ensure compliance with the Code. Where a landlord's policy does not comply with the Code, it must provide a detailed explanation for non-compliance in its self-assessment and the date by which it intends to comply.

Where there are exceptional circumstances which mean a landlord cannot meet specific requirements of Code, for example a small provider does not have a website, the Ombudsman will take a proportionate approach. In these circumstances, landlords must undertake all reasonable endeavours 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.

Where a landlord is unable to comply with the Code due to exceptional circumstances, such as a cyber incident, it must inform the Ombudsman of its reasons, provide information to residents who may be affected and publish this on their website. The landlord must provide all parties with a timescale for returning to compliance with the Code and the reasonableness of exemptions to the Code during this period may be assessed by the Ombudsman.

Monitoring compliance with the Code

The Ombudsman would like all landlords to have strong local complaint handling and a positive complaint handling culture – resolving complaints earlier and potentially without referral to the Ombudsman extends fairness to the benefit of all residents. This also leads to better services and strengthens relationships with residents. We will use the duty to monitor compliance to further these aims by supporting better practice and providing opportunities for landlords to demonstrate complaint handling improvements.

Support for improvement will be provided through the Centre for Learning, accessible via our website, which hosts an ever-growing range of tools targeted at complaints handlers, senior managers and governing bodies.

We will monitor compliance in three ways. This will involve ensuring that the landlord:

- has scrutinised and challenged its compliance with the Code at its governing body through review of its self-assessment against the Code, its complaints handling performance and its learning from complaints, and published the outcome on its website annually;
- complies with the Code in policy; and
- complies with the Code in practice.

Where a landlord does not meet the requirements in any of the areas and does not move into compliance within a reasonable timescale, the Ombudsman may issue a

Complaint Handling Failure Order (CHFO). The Ombudsman provides separate guidance on CHFOs on its website.

The Complaint Handling Code

1. Definition of a complaint

- 1.1 Effective complaint handling enables residents to be heard and understood. The starting point for this is a shared understanding of what constitutes a complaint.
- 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 landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.'
- 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.
- 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.
- 1.5 A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains.
- 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.

2. Exclusions

- 2.1 Landlords must accept a complaint unless there is a valid reason not to do so. If a landlord decides not to accept a complaint it must be able to evidence its reasoning. Each complaint must be considered on its own merits.
- 2.2 A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:
 - The issue giving rise to the complaint occurred over twelve months ago.
 - Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court.
 - Matters that have previously been considered under the complaints policy.
- 2.3 A landlord must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless it is 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.
- 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.
- 2.5 A landlord must not take a blanket approach to excluding complaints; it must consider the individual circumstances of each complaint.

3. Accessibility and awareness

- 3.1 Landlords must make it easy for residents to complain by providing different channels through which they can make a complaint. A landlord must consider its duties under the Equality Act 2010 and anticipate the needs and reasonable adjustments of residents who may need to access the complaints process.

- 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.
- 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.
- 3.4 A landlord must make its 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.
- 3.5 The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.
- 3.6 Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any meeting with the landlord.
- 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.

4. Complaint handling staff

- 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.
- 4.2 The complaints officer must have access to staff at all levels to facilitate the prompt resolution of complaints. They must also have the authority and autonomy to act to resolve disputes promptly and fairly.
- 4.3 Landlords are expected to prioritise complaint handling and a culture of learning from complaints. All relevant staff must be suitably trained in the importance of complaint handling. It is important that complaints are seen as a core service and must be resourced to handle complaints effectively.

5. The complaint handling process

- 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.
- 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.
- 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.
- 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.
- 5.5 Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.
- 5.6 When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. The Code will refer to this as "the complaint definition". If any aspect of the complaint is unclear, the resident must be asked for clarification.
- 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.
- 5.8 At each stage of the complaints process, complaint handlers must:
 - a) deal with complaints on their merits, act independently, and have an open mind;
 - b) give the resident a fair chance to set out their position;
 - c) take measures to address any actual or perceived conflict of interest; and
 - d) consider all relevant information and evidence carefully.

- 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.
- 5.10 Landlords must make reasonable adjustments for residents where appropriate under the Equality Act 2010. Landlords must keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review.
- 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. A landlord must clearly set out these reasons, and it must comply with the provisions set out in section 2 of this Code.
- 5.12 A full record must be kept of the complaint, and the outcomes at each stage. This must include the original complaint and the date received, all correspondence with the resident, correspondence with other parties, and any relevant supporting documentation such as reports or surveys.
- 5.13 Landlords must have processes in place to ensure that a complaint can be remedied at any stage of its complaints process. Landlords must ensure that appropriate remedies can be provided at any stage of the complaints process without the need for escalation.
- 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.
- 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.

6. Complaints stages

Stage 1

- 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.
- 6.2 Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure **within five working days of the complaint being received**.
- 6.3 Landlords must issue a full response to stage 1 complaints **within 10 working days** of the complaint being acknowledged.
- 6.4 Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident.
- 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.
- 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.
- 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.
- 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.

6.9 Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language:

- a) the complaint stage;
- b) the complaint definition;
- c) the decision on the complaint;
- d) the reasons for any decisions made;
- e) the details of any remedy offered to put things right;
- 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.

Stage 2

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.

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**.

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.

6.13 The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.

6.14 Landlords must issue a final response to the stage 2 **within 20 working days** of the complaint being acknowledged.

6.15 Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the

expected timescale for response. Any extension must be no more than 20 working days without good reason, and the reason(s) must be clearly explained to the resident.

- 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.
- 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.
- 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.
- 6.19 Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:
- a) the complaint stage;
 - b) the complaint definition;
 - c) the decision on the complaint;
 - d) the reasons for any decisions made;
 - e) the details of any remedy offered to put things right;
 - f) details of any outstanding actions; and
 - g) details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.
- 6.20 Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.

7. Putting things right

- 7.1 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:

- Apologising;
- Acknowledging where things have gone wrong;
- Providing an explanation, assistance or reasons;
- Taking action if there has been delay;
- Reconsidering or changing a decision;
- Amending a record or adding a correction or addendum;
- Providing a financial remedy;
- Changing policies, procedures or practices.

7.2 Any remedy offered must reflect the impact on the resident as a result of any fault identified.

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.

7.4 Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.

8. Self-assessment, reporting and compliance

8.1 Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:

- a) the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.
- b) a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept;
- c) any findings of non-compliance with this Code by the Ombudsman;
- d) the service improvements made as a result of the learning from complaints;
- e) any annual report about the landlord's performance from the Ombudsman;
and
- f) any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.

- 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.
- 8.3 Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.
- 8.4 Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.
- 8.5 If a landlord is unable to comply with the Code due to exceptional circumstances, such as a cyber incident, it must inform the Ombudsman, provide information to residents who may be affected, and publish this on its website. Landlords must provide a timescale for returning to compliance with the Code.

9. [Scrutiny & oversight: continuous learning and improvement](#)

- 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.
- 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.
- 9.3 Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees.
- 9.4 Landlords must appoint a suitably senior lead person as accountable for its complaint handling. This person must assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.
- 9.5 In addition to this, a member of the governing body (or equivalent) must be appointed to have lead responsibility for complaints to support a positive

complaint handling culture. This person is referred to as the Member Responsible for Complaints ('the MRC').

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.

9.7 As a minimum, the MRC and the governing body (or equivalent) must receive:

- a) regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;
- b) regular reviews of issues and trends arising from complaint handling;
- c) regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and
- d) the annual complaints performance and service improvement report.

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.

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>			
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.			
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.			
1.5	A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains.			
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.			

Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.1	Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint they must be able to evidence their reasoning. Each complaint must be considered on its own merits			
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. 			

	<ul style="list-style-type: none"> Matters that have previously been considered under the complaints policy. 			
2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.			
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.			
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each 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.			
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.			
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.			
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			

24

	will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord's website.			
3.5	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.			
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any meeting with the landlord.			
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.			

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.			
4.2	The complaints officer must have access to staff at all levels to facilitate the prompt resolution of complaints. They must also have the authority and autonomy to act to resolve disputes promptly and fairly.			
4.3	Landlords are expected to prioritise complaint handling and a culture of learning from complaints. All relevant staff must be suitably trained in the importance of complaint handling. It is important that complaints are seen as a core service and must be resourced to handle complaints effectively.			

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.			
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.			
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.			
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.			
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.			
5.6	When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. The Code will refer to this as “the complaint definition”. If any aspect of the complaint is unclear, the resident must be asked for clarification.			
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.			
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.			
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.			
5.10	Landlords must make reasonable adjustments for residents where appropriate under the Equality Act 2010. Landlords must keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review.			
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.			
5.12	A full record must be kept of the complaint, and the outcomes at each stage. This must include the original complaint and the date received, all correspondence with the resident, correspondence with other parties, and			

	any relevant supporting documentation such as reports or surveys.			
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.			
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.			
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.			

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.			
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>			
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.			
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident			

	of the expected timescale for response. Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident.			
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.			
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.			
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.			
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.			
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> 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. 			

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.			
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.			
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.			
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.			
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.			
6.15	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 20 working days without good reason, and the reason(s) must be clearly explained to the resident.			
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.			
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.			
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.			
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. 			
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.			

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; • 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.			
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.			

7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.			
-----	--	--	--	--

Section 8: Self-assessment, reporting and compliance

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> <ul style="list-style-type: none"> a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. 			

8.2	The annual complaints performance and service improvement report must be reported to the landlord's governing body (or equivalent) and published on the on the section of its website relating to complaints. The governing body's response to the report must be published alongside this.			
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.			
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.			
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.			

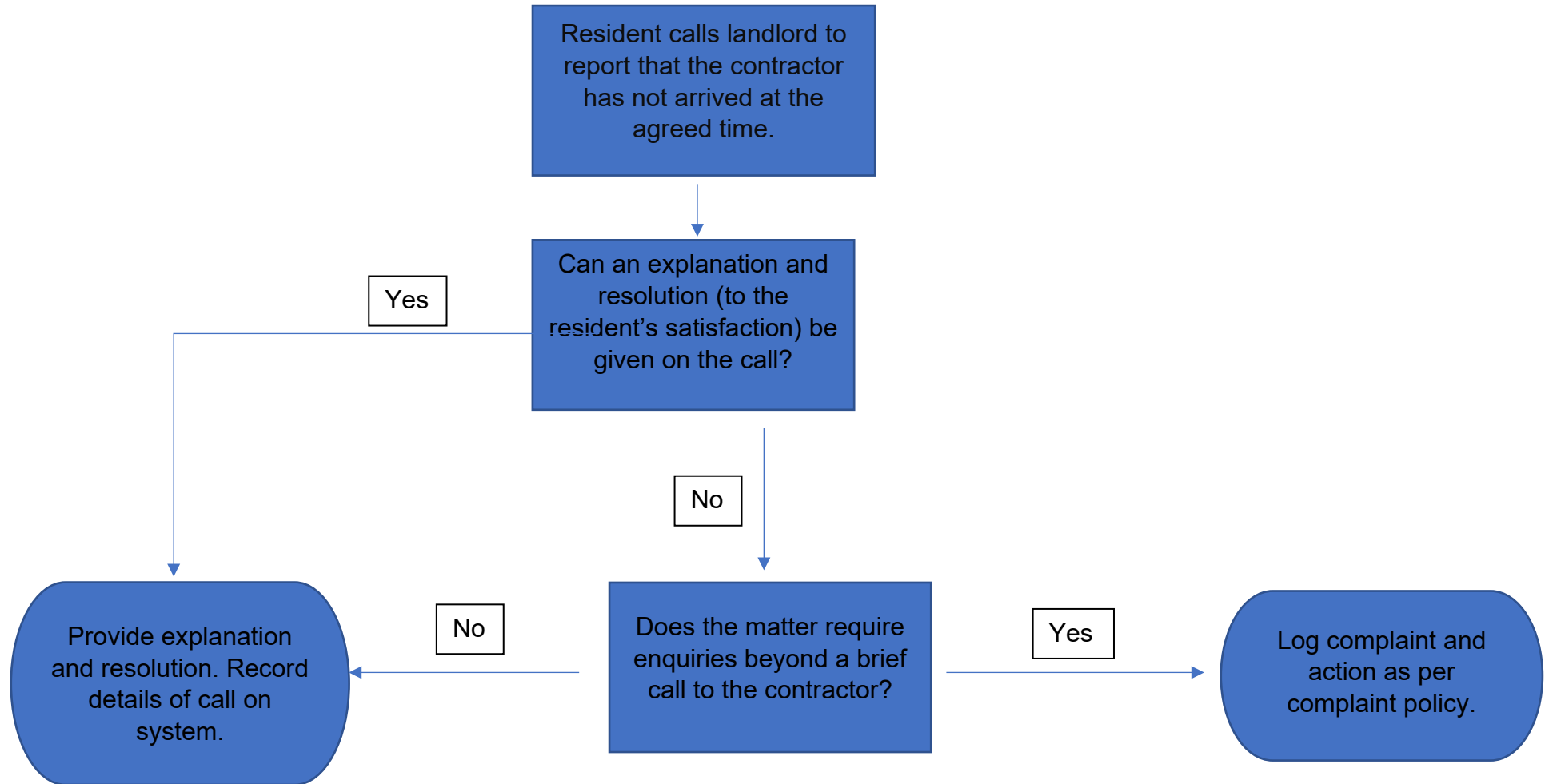
Section 9: Scrutiny & oversight: continuous learning and improvement

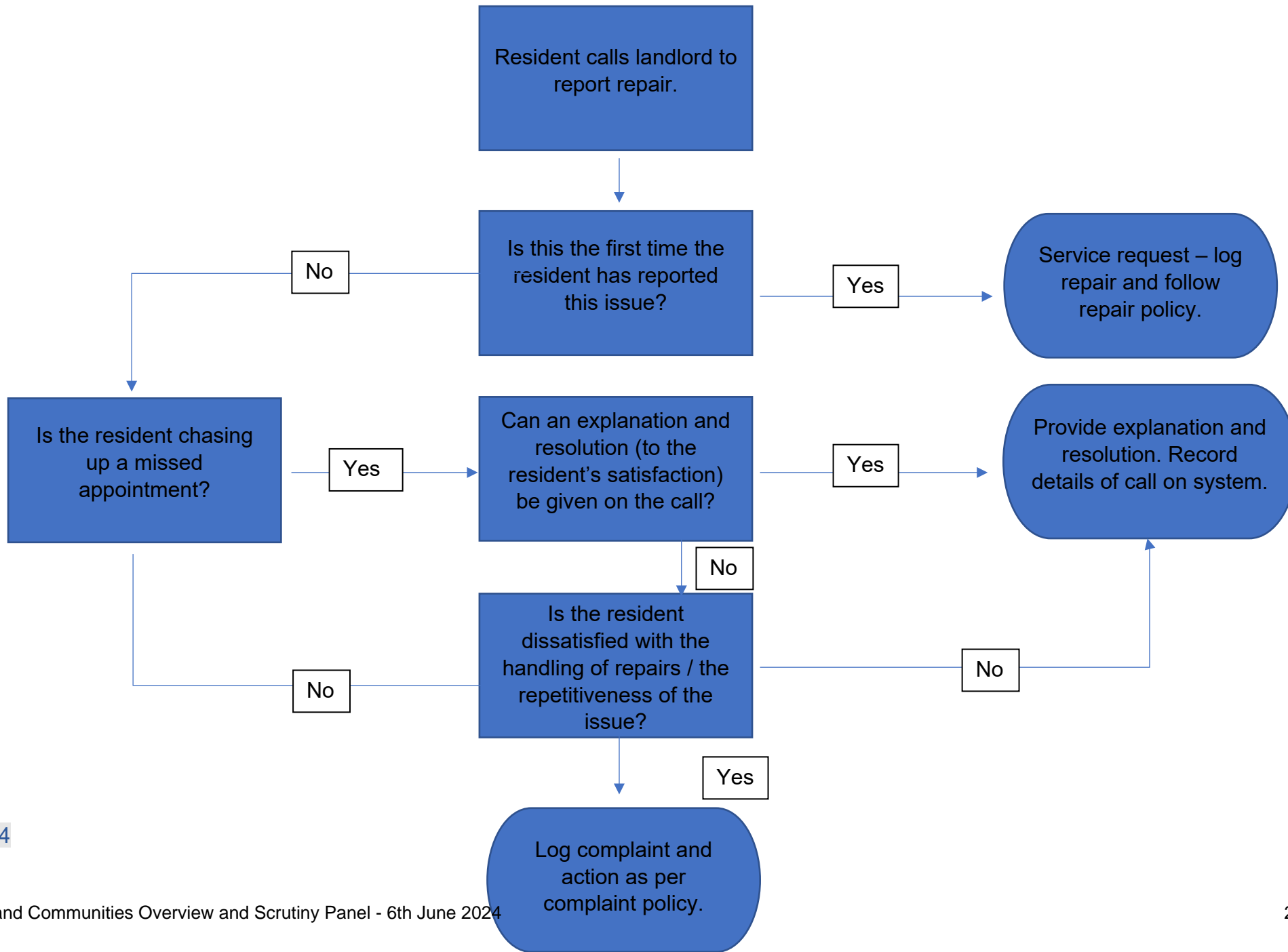
Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
9.1	Landlords must look beyond the circumstances of the individual complaint and consider whether service improvements can be made as a result of any learning from the complaint.			
9.2	A positive complaint handling culture 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.			
9.3	Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees.			
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.			

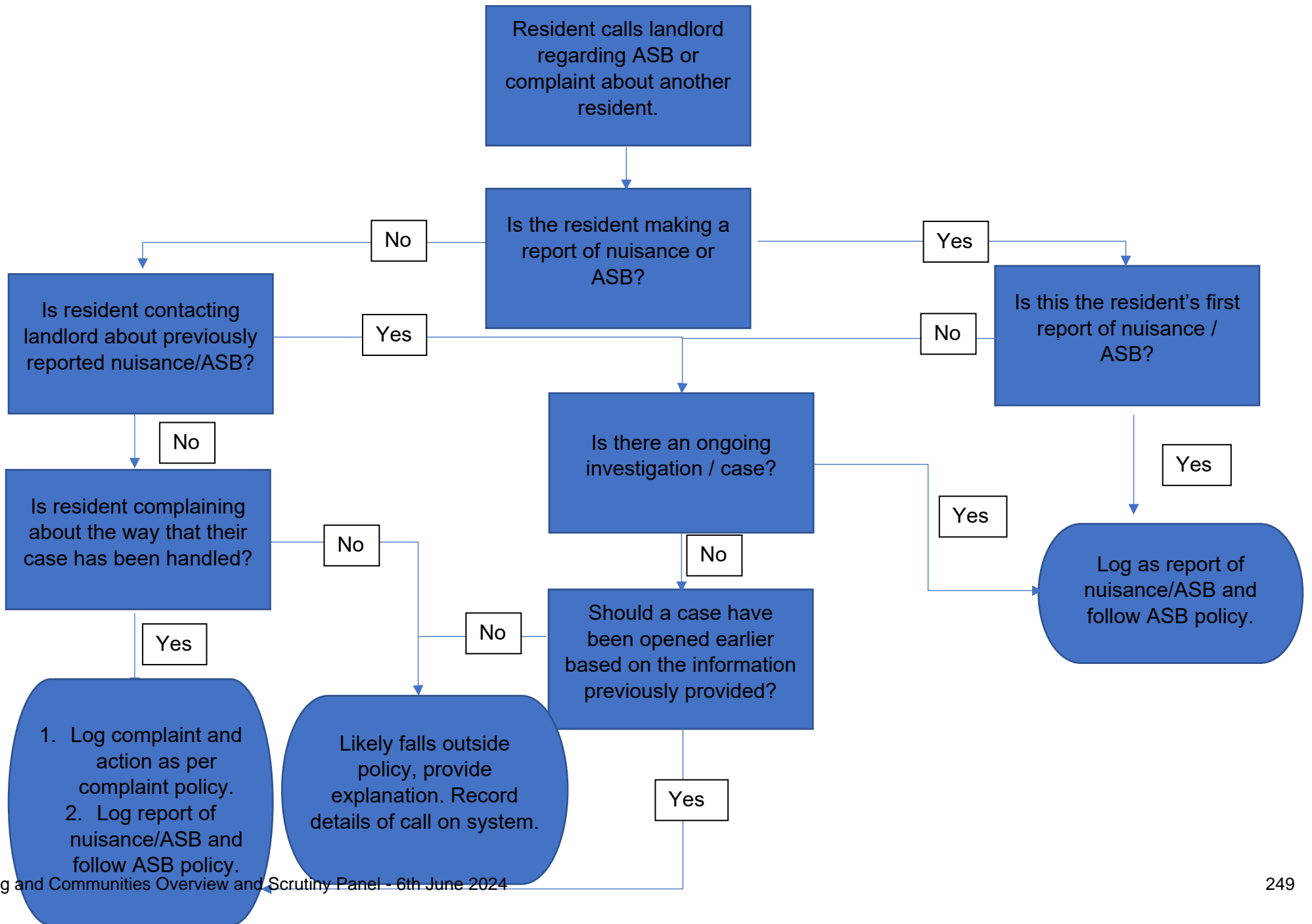
9.5	In addition to this a member of the governing body (or equivalent) must be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This person is referred to as the Member Responsible for Complaints ('the MRC').			
9.6	The MRC will be responsible for 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.			
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and			

	d. annual complaints performance and service improvement report.			
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.			

Appendix B – Service request or complaint – flow charts







Nuneaton and Bedworth Borough Council

FORWARD PLAN SHOWING THE KEY DECISIONS THAT WILL BE MADE IN THE 4 MONTHS BEGINNING 1ST JUNE 2024 AND EXEMPT INFORMATION DECISIONS THAT ARE TO BE MADE DURING JUNE, 2024.

The table below shows the likely date the listed key decisions will be made and by whom and also lists the subject of decisions to be made under Exempt Information rules. Please contact the officer mentioned in the seventh column if you wish to know:-

- ◆ the groups or organisations whom the decision maker will consult before making the decision;
- ◆ how such consultation will be undertaken;
- ◆ what documents the decision maker will consider in making that decision; or
- ◆ how, and by when, you can make any representations about the proposed decision.

Items highlighted in **yellow** are new or amended items for this publication.

Date entered:	Item - Description	Committee	In Private Session	Reason for Item being Considered in Private Session	Date	Report Author	Person Responsible	Cabinet Portfolio	OSP
30/09/20	Local Government Devolution	Cabinet	No		May 2024	Brent Davis ☎02476 376347	Brent Davis ☎02476376347	Business & Regeneration	Business, Regen & Planning
30/11/23	Safeguarding Policy	Cabinet	No		June 2024	Matthew Wallbank ☎02476 376258	Vicki Summerfield ☎02476376002	Finance and Corporate	Finance & Public Services
11/10/23	Supported Housing (Regulatory) Act 2023- NBBC Strategy	Cabinet	No		June 2024	Jane Grant ☎02476 376483	Dawn Dawson ☎02476376408	Housing and Communities	Housing, Env and Health

12/02/24	Revised Local Development Scheme	Cabinet	No		June 2024	Maria Bailey ☎02476 376144	Kevin Hollis ☎02476376143	Planning & Regulation	Business, Regen & Planning
29/02/24	Planning Applications Validation List	Cabinet	No		June 2024	Maria Bailey ☎02476 376144	Kevin Hollis ☎02476376143	Planning & Regulation	Business, Regen & Planning
30/04/24	Newdigate Recreation Ground	Cabinet	No		June 2024	Katie Memetovic-Bye ☎02476 376147	Kevin Hollis ☎02476376143	Public Services	Finance and Public Services
31/03/23	Parks & Green Spaces Strategy	Cabinet	No		July 2024	David Truslove ☎02476 376569	Kevin Hollis ☎02476 376143	Public Services	Finance and Public Services
31/07/23	General Fund Revenue Outturn 2023/24	Cabinet	No		July 2024	Victoria Summerfield ☎02476 376002	Victoria Summerfield ☎02476376002	Finance and Corporate	Finance and Public Services
31/07/23	HRA Revenue Outturn 2023/24	Cabinet	No		July 2024	Victoria Summerfield ☎02476 376002	Victoria Summerfield ☎02476376002	Finance and Corporate	Finance and Public Services

31/07/23	Capital Outturn 2023/24	Cabinet	No		July 2024	Victoria Summerfield ☎02476 376002	Victoria Summerfield ☎02476376002	Finance and Corporate	Finance and Public Services
31/07/23	Collection Fund 2023/24	Cabinet	No		July 2024	Victoria Summerfield ☎02476 376002	Victoria Summerfield ☎02476376002	Finance and Corporate	Finance and Public Services
31/07/23	Treasury Annual Report 2023/24	Cabinet	No		July 2024	Victoria Summerfield ☎02476 376002	Victoria Summerfield ☎02476376002	Finance and Corporate	Finance and Public Services
30/04/24	Adoption of Validation checklist for Planning Applications	Council	No		July 2024	Maria Bailey ☎02476 376144	Kevin Hollis ☎02476376143	Planning and Regulation	Business, Regen & Planning
31/10/23	Housing Strategy 2024-29	Cabinet	No		September 2024	Jane Grant ☎02476 376483	Dawn Dawson ☎02476376408	Housing and Communities	Housing, Env & Health
22/08/22	Johnson Road, Bedworth – Housing Development / Community Use proposal	Cabinet	No		September 2024	Katie Memetovic-Bye ☎02476 376147	Kevin Hollis ☎02476376143	Public Services	Finance and Public Service

31/05/23	Capital Strategy and Asset Management Plan	Cabinet	No		September 2024	Jonathan White ☎02476 376549	Tom Shardlow ☎02476 376004	Business & Regeneration	Business, Regen & Planning
25/09/23	General Fund Budget Monitoring Q1	Cabinet	No		September 2024	Victoria Summerfield ☎02476 376002	Victoria Summerfield ☎02476376002	Finance and Corporate	Finance and Public Services
25/09/23	HRA Budget Monitoring Q1	Cabinet	No		September 2024	Victoria Summerfield ☎02476 376002	Victoria Summerfield ☎02476376002	Finance and Corporate	Finance and Public Services
25/09/23	Capital Monitoring Q1	Cabinet	No		September 2024	Victoria Summerfield ☎02476 376002	Victoria Summerfield ☎02476376002	Finance and Corporate	Finance and Public Services
30/11/23	General Fund Budget Monitoring Q2	Cabinet	No		November 2024	Victoria Summerfield ☎02476 376002	Victoria Summerfield ☎02476376002	Finance and Corporate	Finance and Public Services
30/11/23	HRA Budget Monitoring Q2	Cabinet	No		November 2024	Victoria Summerfield ☎02476 376002	Victoria Summerfield ☎02476376002	Finance and Corporate	Finance and Public Services

30/11/23	Capital Monitoring Q2	Cabinet	No		November 2024	Victoria Summerfield ☎02476 376002	Victoria Summerfield ☎02476376002	Finance and Corporate	Finance and Public Services
29/02/24	General Fund Budget 2024/25	Cabinet/Council	No		February 2025	Victoria Summerfield ☎02476 376002	Victoria Summerfield ☎02476376002	Finance and Corporate	Finance and Public Services
29/02/24	HRA Budget 2024/25	Cabinet/Council	No		February 2025	Victoria Summerfield ☎02476 376002	Victoria Summerfield ☎02476376002	Finance and Corporate	Finance and Public Services
29/02/24	Treasury Strategy 2024/25	Cabinet/Council	No		February 2025	Victoria Summerfield ☎02476 376002	Victoria Summerfield ☎02476 376002	Finance and Corporate	Finance and Public Services
29/02/24	Capital Budget 2024/25	Cabinet/Council	No		February 2025	Victoria Summerfield ☎02476 376002	Victoria Summerfield ☎02476376002	Finance and Corporate	Finance and Public Services
29/03/24	General Fund Budget Monitoring Q3	Cabinet	No		March 2025	Victoria Summerfield ☎02476 376002	Victoria Summerfield ☎02476 376002	Finance and Corporate	Finance and Public Services

29/03/24	HRA Budget Monitoring Q3	Cabinet	No		March 2025	Victoria Summerfield ☎02476 376002	Victoria Summerfield ☎02476376002	Finance and Corporate	Finance and Public Services
29/03/24	Capital Monitoring Q3	Cabinet	No		March 2025	Victoria Summerfield ☎02476 376002	Victoria Summerfield ☎02476376002	Finance and Corporate	Finance and Public Services

Cabinet – Exempt Items

Date entered:	Item - Description	Committee	In Private Session	Reason for Item being Considered in Private Session	Date	Report Author	Person Responsible	Cabinet Portfolio	OSP
06/05/22	Regeneration Projects Update	Cabinet	Yes	The report will contain information relating to the financial or business affairs of any particular person (including the Authority holding the information)	May 2024	Jonathan White ☎02476 376549	Tom Shardlow ☎02476 376004	Business & Regeneration	Business, Regen & Planning

Individual Cabinet Member Decisions

Date entered:	Item - Description	Portfolio Holder	In Private Session	Reason for Item being Considered in Private Session	Date	Report Author	Person Responsible	OSP
Individual Cabinet Member Decisions – Exempt Items								
	None							

Officer Decisions									
Date entered:	Item - Description	Directorate	In Private Session	Reason for Item being Considered in Private Session	Date	Report Author	Person Responsible	Cabinet Portfolio	OSP
	None								
Officer Decisions – Exempt Items									

The Cabinet Members are:

Business and Regeneration (Leader)

- Councillor K. Wilson

Housing and Communities (Deputy Leader) - Councillor C. Golby
Finance and Corporate - Councillor S. Croft
Public Services - Councillor S. Markham
Planning and Regulation - Councillor R. Smith
Health and Environment - Councillor J. Gutteridge

Observer:
Leader of the Main Opposition Group - Councillor C. Watkins

Dated: 30th April 2024

Signed: K. Wilson (Leader of the Council)

Housing and Communities Overview and Scrutiny Panel – Work Programme 2024/25

Meeting dates: 6th June 2024, 26th September 2024, 23rd January 2025

Date Added	Lead Officer	Title	Description	Scrutiny/ Overview	Proposed Committee Date	On Agenda 2024/25 or Briefing Note	Include in 2025/26 Work Programme ?
	Steve Gore	Integrated Performance Report	Quarterly Benchmarking Report	Scrutiny	6 th June 2024 26 th Sept 2024 23 rd Jan 2025	Report 6/6	
	Nicola Botterill	The 2023-24 Annual Housing Complaints, performance and improvements report	Part of the new Housing ombudsman (mandatory requirement to come to OSP)	Scrutiny	6 th June 2024	Report 6/6	
	Nicola Botterill	Landlord Services Key Performance Indicator Selection	KPI Report	Scrutiny	6 th June 2024	Report 6/6	
	Nicola Botterill	Housing Key Performance Indicators	Benchmarking Report	Scrutiny	26 th Sept 2024 23 rd Jan 2025		
Annual	Abu Malek	Warwickshire Police and Crime Plan	To bring an update on the Police and Crime Plan.		26 th September 2024		
Every two Years	Abu Malek	NABSCOP Strategic Assessment	To ensure that the Council's priorities are considered and included in the Community Safety Partnership's priorities for the area.		26 th September 2024		
April 2023	Abu Malek	Armed Forces Covenant	An update including highlights about what NBBC are doing in relation to the Armed Forces Covenant.		23 rd January 2025		
	Maria Bailey / Jonathan White	Pride in Camp Hill	Annual report of PINCH to update and provide performance information for Members		23 rd January 2025		
	Abu Malek	Voluntary and Community Sector Performance Reports	Voluntary and Community Sector Monitoring reports. Includes audit of performance by Communities Team as part of SLA.		23 rd January 2025		