



# SELF-ASSESSMENT

## **APPENDIX 1: SELF-ASSESSMENT FORM**

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

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

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

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

## SECTION 1: DEFINITION OF A COMPLAINT

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	A complaint must be defined as: <i>'an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.'</i>	Yes	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	Stated in Housing & Ofsted Regulated Supported Accommodation Complaints Policy
1.3	A resident does not have to use the word 'complaint' for it to be treated as such. Whenever a resident expresses dissatisfaction landlords must give them the choice to make complaint. A complaint that is submitted via a third party or representative must be handled in line with the landlord's complaints policy.	Yes	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	This is set out in section 3.1 of the complaints policy and third parties are covered in section 6.1 of the policy.
1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be recorded, monitored and reviewed regularly.	Yes	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	New Housing & Ofsted Regulated Supported Accommodation Complaints Policy in place and states definition as in the code provision.
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	Yes	Where a resident expresses dissatisfaction with our response to a service request a complaint will be raised. Staff will continue to address the service request whilst	Where a resident expresses dissatisfaction with our response to a service request a complaint will be raised. Staff will continue to address the service request

	not stop their efforts to address the service request if the resident complains.		the complaint is ongoing and resolution sought.	whilst the complaint is ongoing and resolution sought.
1.6	An expression of dissatisfaction with services made through a survey is not defined as a complaint, though wherever possible, the person completing the survey should be made aware of how they can pursue a complaint if they wish to. Where landlords ask for wider feedback about their services, they also must provide details of how residents can complain.	Yes	Survey feedback is not treated as a complaint. Resident surveys do include information about how residents can make a complaint.	Survey feedback is not treated as a complaint. Resident surveys do include information about how residents can make a complaint.

## 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	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	New Housing & Ofsted Regulated Supported Accommodation Complaints Policy in place. Section 6.1 includes the statement 'If we decide not to accept a complaint, an explanation will 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.'
2.2	A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include: <ul style="list-style-type: none"> <li>The issue giving rise to the complaint occurred over twelve months ago.</li> <li>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.</li> <li>Matters that have previously been considered under the complaints policy.</li> </ul>	Yes	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	Section 6.7 of the new Housing & Ofsted Regulated Supported Accommodation Complaints Policy sets out the circumstances in which a complaint won't be considered or escalated.
2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming	Yes	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	Section 6.7 of the new Housing & Ofsted Regulated Supported Accommodation Complaints Policy

	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.			sets out the timescale after which a complaint won't be considered.
2.4	If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman. If the Ombudsman does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.	Yes	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	New Housing & Ofsted Regulated Supported Accommodation Complaints Policy in place. Section 6.1 includes the statement 'If we decide not to accept a complaint, an explanation will 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.'
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	No complaints have been excluded this year.	It would be very rare for a complaint to be excluded, and if it was under consideration, the individual circumstances would be viewed rather than taking a blanket approach.

## 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	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	<p>Section 5 of the policy sets out the principles and states 'Receiving complaints face-to-face, letter or email'</p> <p>Residents are also able to make a complaint via our website.</p> <p>We also provide support to any individual who feels unable to use these routes.</p> <p>We manage all complaints, regardless of the channel in which they have originated, with the same expectations and timescales.</p>
3.2	Residents must be able to raise their complaints in any way and with any member of staff. All staff must be aware of the complaints process and be able to pass details of the complaint to the appropriate person within the landlord.	Yes	Complaints are received in a variety of formats.	<p>Residents are able to make a complaint by letter, email, via the website. They can, and do, raise complaints with any member of staff.</p> <p>Staff receive training on the Housing &amp; Ofsted Regulated Supported Accommodation Complaints Policy.</p>
3.3	High volumes of complaints must not be seen as a negative, as they can be indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.	Yes	Complaints are reviewed at weekly management meetings.	<p>We have seen an increase in complaints this year, and part of that is down to awareness of the policy and how to complain.</p>

3.4	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the two-stage process, what will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord's website.	Yes	Our complaints policy is on our website <a href="https://ymcatg.org/wp-content/uploads/Housing-Complaints-Policy-SEPTEMBER-24.pdf">https://ymcatg.org/wp-content/uploads/Housing-Complaints-Policy-SEPTEMBER-24.pdf</a>  Recite Me	The policy is available online and a paper copy can be provided. If residents have specific needs we will seek to meet this need.  Section 9.3 of the Complaints Policy details the two-stage process and timescales for responding.  'Recite Me' (an accessibility software) is installed on website to improve accessibility for residents. It also translates documents too.
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	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	Section 6.3 'Accessibility & Awareness' in the new policy sets out the approach to publicising details of the policy, including information about the Ombudsman and the 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.	Yes	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	Section 4.2 of the policy states that 'establishments provide easy to use opportunities for them to register their complaints and Section 6 states 'Complainants may wish to have a third-party act on their behalf.'
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	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	This is in Section 9.4 of the policy, which includes the Housing Ombudsman address, email and phone number is stated.

## 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	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	Section 4.2 of the policy names 'Head of Housing' as the Complaints Officer.
4.2	The complaints officer must have access to staff at all levels to facilitate the prompt resolution of complaints. They must also have the authority and autonomy to act to resolve disputes promptly and fairly.	Yes	Head of Housing is a senior role.	The 'Head of Housing' acts as the Complaints officer and they have sufficient authority and autonomy to resolve disputes
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	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	Section 3.1 of the policy states that we 'learn from them so that we can continuously improve our service.' Staff receive training on complaint handling.

## 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	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	There is a single Complaints Policy in place. Section 5.1 of the policy states that we will treat complainants with respect and fairness.
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	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	Section 3.1 of the policy states that we want to resolve the complaint as quickly as possible. Our complaint process is a 2 stage one. There is no 'informal stage'
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	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	Section 9.3 of the policy sets out the two stages.
5.4	Where a landlord's complaint response is handled by a third party (e.g. a contractor or independent adjudicator) at any stage, it must form part of the two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes.	Yes	All complaints are handled in-house.	If the complaint is about a third party, it will be managed through YMCA TG's complaint process.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	All complaints are handled in-house.	Any complaint would be managed through YMCA TG's complaint process.
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	Yes	Standard formatting of headings is in place for complaint response letters	The acknowledgment letters set out the understanding and the outcome the resident is seeking. If it 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.		to ensure appropriate sections covered	unclear, the resident is 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.	Yes		This is clearly set out in the acknowledgement to residents.
5.8	At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> <li>a. deal with complaints on their merits, act independently, and have an open mind;</li> <li>b. give the resident a fair chance to set out their position;</li> <li>c. take measures to address any actual or perceived conflict of interest; and</li> <li>d. consider all relevant information and evidence carefully.</li> </ul>	Yes	Staff training	We are compliant in this area and want to continue strengthening the skills and capabilities of our staff. We do this through the training and housing staff will be completing the Housing Ombudsman E-learning.
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	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	Section 9.6 of the policy sets out this expectation and the need to keep the resident informed of progress with the investigation, reasons for the delay and next steps.
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	Yes		We do make reasonable adjustments for our residents, where appropriate. We record the support needs of our residents and any reasonable adjustments required on our caseload management system

	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.	Yes	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	Any reason not to escalate a complaint would have to be agreed with the Complaints Officer, with the reasons for the decision being explained to the resident. Section 6.2 'The complaints handling process' of the policy states: <i>'We accept a request to escalate the complaint to the next stage unless an exclusion applies.'</i>
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	Caseload management system	This is captured on our caseload 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	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	Section 3.1 of the policy recognises good complaint handling promotes positive relationships' and Section 6.2 sets out the complaint handling process.
5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives. Landlords must be able to evidence reasons for putting any restrictions in place and	Yes	Behaviour Management policy House rules	We take a strengths-based approach to managing unacceptable behaviour from residents. We have a Behaviour Management Policy in place, alongside House Rules.  Any restrictions that are in place are be kept under regular review.

	must keep restrictions under regular review.			
5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.	Yes	No restricted contact arrangements in place in this reporting period.	We take a strengths-based approach to managing unacceptable behaviour from residents. Any restrictions would be proportionate and demonstrate regard for 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.	Yes	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	We aim is to respond to complaints as early as possible. Many of our residents have a vulnerability and our staff have positive relationships with them which supports early complaint resolution. Section 6.2 of our policy sets out expectations if the time limit needs to be extended.
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <b><u>within five working days of the complaint being received.</u></b>	Yes	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	This is stated in Section 6.2 of the policy.
6.3	Landlords must issue a full response to stage 1 complaints <b><u>within 10 working days</u></b> of the complaint being acknowledged.	Yes	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	This is stated in Section 6.2 of the policy.
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	Housing & Ofsted Regulated Supported Accommodation Complaints Policy, along with the limits of any extensions.	This is stated in Section 6.2 of the policy.

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		This forms part of the communication with the resident.
6.6	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes		Any outstanding actions and anticipated deadlines are stated in the complaint response. Updates on progress against these actions are then provided to the resident by their Support Worker.
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	Standard formatting of headings is in place for complaint response letters to ensure appropriate sections covered	The complaint definition is stated in the response and updates provided against each of these
6.8	Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if they are related and the stage 1 response has not been issued. Where the stage 1 response has been issued, the new issues are unrelated to the issues already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.	Yes		This is the case. If it is near to the response deadline, we would agree the new response deadline with the resident, if it was required.
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"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> </ul>	Yes	Standard formatting of headings is in place for complaint response letters to ensure appropriate sections covered	This is stated in the complaint response and training/coaching is provided to staff.

	<p>d. the reasons for any decisions made;</p> <p>e. the details of any remedy offered to put things right;</p> <p>f. details of any outstanding actions; and</p> <p>g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</p>			
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## STAGE 2

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.10	If all or part of the complaint is not resolved to the resident's satisfaction at stage 1, it must be progressed to stage 2 of the landlord's procedure. Stage 2 is the landlord's final response.	Yes	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	This is stated in Section 6.2 of the policy
6.11	Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaints procedure within five working days of the escalation request being received.	Yes	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	This is stated in Section 6.2 of the policy
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		If it is unclear, the Support Worker will assist the resident to ensure that their wishes are understood.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	This is stated in Section 6.2 of the policy

6.14	Landlords must issue a final response to the stage 2 <b>within 20 working days</b> of the complaint being acknowledged.	Yes	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	This is stated in Section 6.2 of the policy
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	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	This is stated in Section 6.2 of the policy
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	Standard formatting of headings is in place for complaint response letters to ensure appropriate sections covered	This is part of the letter to the resident
6.17	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes		Any outstanding actions and anticipated deadlines are stated in the complaint response. Updates on progress against these actions are then provided to the resident by their Support Worker.
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	Standard formatting of headings is in place for complaint response letters to ensure appropriate sections covered	The complaint definition is stated in the response and updates provided against each of these.
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;	Yes	This Standard formatting of headings is in place for complaint response letters to ensure appropriate sections covered	This is stated in the complaint response and training/coaching is provided to staff.  Quality monitoring also takes place by managers.

	<ul style="list-style-type: none"> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> <li>g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.</li> </ul>			
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Housing & Ofsted Regulated Supported Accommodation Complaints Policy	This is stated in Section 6.2 of the policy

## 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"> <li>• Apologising;</li> <li>• Acknowledging where things have gone wrong;</li> <li>• Providing an explanation, assistance or reasons;</li> <li>• Taking action if there has been delay;</li> <li>• Reconsidering or changing a decision;</li> <li>• Amending a record or adding a correction or addendum;</li> <li>• Providing a financial remedy;</li> <li>• Changing policies, procedures or practices.</li> </ul>	Yes	Compensation and Remedies Policy.	<p>Compensation and Remedies Policy introduced in March 2025.</p> <p>Lessons Learned and remedies is included in the complaint response to the resident.</p>
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Remedies are discussed and agreed with the resident before being formally offered.	
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	Timescales for actions are included in the complaint response. Updates are provided by the Support Worker	
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	We use the Ombudsman guidance and the new Compensation and Remedies Policy reflects this guidance	

## 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"> <li>a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.</li> <li>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;</li> <li>c. any findings of non-compliance with this Code by the Ombudsman;</li> <li>d. the service improvements made as a result of the learning from complaints;</li> <li>e. any annual report about the landlord's performance from the Ombudsman; and</li> <li>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</li> </ul>	Yes	<p>Annual Complaints Performance and Service Improvement report</p> <p>Agenda and minutes from Operations &amp; Programmes committee</p>	<p>An annual Complaints Performance and Service Improvement report is produced. The self-assessment is included in this report as an Appendix, and commentary against the assessment is included in the main body of the report.</p> <p>The report also includes qualitative and quantitative analysis of the complaint handling performance, as well as lessons learned and service improvements made. Any Ombudsman findings/communication is included too.</p>
8.2	<p>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</p>	Yes	<p>Agenda and minutes from Board meeting and Operations &amp; Programmes committee</p>	<p>The annual complaints performance and Service Improvement and Complaints Performance report is shared with the</p>

	to complaints. The governing body's response to the report must be published alongside this.		Executive Team agenda Website	Executive Team, Programme and Operations Committee and the Board.  The report is also published on our website, along with the Board's response to it.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	No significant changes in the reporting period	We will continue to review this as we amend our procedures.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	No requests received in the reporting period	If requested, we would 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.	Yes	No exceptional circumstances in the reporting period.	In exceptional circumstances, the Ombudsman would be informed, affected residents would be provided with information, and it would also be published on our website, along with a timescale for returning to compliance with the Code.

## SECTION 9: SCRUTINY & OVERSIGHT: CONTINUOUS LEARNING AND IMPROVEMENT

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
9.1	Landlords must look beyond the circumstances of the individual complaint and consider whether service improvements can be made as a result of any learning from the complaint.	Yes	Areas for service improvement identified and implemented	We regularly review complaints data and feedback to identify any emerging themes and trends. We seek any root causes and identify areas for service improvement. The complaints performance and service improvement report show areas where services have improved as a result.
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	Complaints are seen as a source of intelligence to identify issues. Where any issues are identified we address these, for example; through staff training.	
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	Our complaint handling figures are reported to Operations and Programmes Committee. Staff are updated at team meetings on learning from complaints. Feedback is shared at residents' forums.	
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,	Yes	The Head of Housing is accountable for complaint handling.	Themes and trends are discussed at Housing Leadership meetings to identify systematic issues, risks or policies that need review.

	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').	Yes	Member Responsible for Complaints in place	Alice Strevens, Board member and member of Operations and Programmes committee is the Member Responsible for Complaints
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	Scrutiny of complaints performance is delegated by the Board to the Operations and Programmes committee. Quarterly reports on complaints are submitted to this committee by the Complaints Officer. High level reporting on complaints is provided to Board.	
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and d. annual complaints performance and service improvement report.	Yes	This information is provided to the Operations and Programmes Committee on a quarterly basis and through the annual self-assessment, which is then shared with the Board.	
9.8	Landlords must have a standard objective in relation to complaint	Yes	Appraisal Objectives	We have developed a standard objective for

	<p>handling for all relevant employees or third parties that reflects the need to:</p> <ul style="list-style-type: none"><li>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</li><li>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</li><li>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</li></ul>		Staff Training	managers and non-managers. Staff have undertaken inhouse complaints training and forms a part of the new starter induction.
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