

## 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	Compliments, complaints and concerns policy	Definition used on page 2. Published on the website
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	Compliments, complaints and concerns policy	This is implicit in our policy based on both the definition of a complaint and the ways that a complaint can be made, including things like expressing dissatisfaction on social media <b>Action taken:</b> Verbal complaints to be recorded better on the system
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	Yes	Compliments, complaints and concerns policy	This is now expressly set out on page 3 in the Compliments, Complaints and Concerns Policy published on the website

	not complaints, but must be recorded, monitored and reviewed regularly.			<b>Action taken:</b> Policy was updated to include clear information on service requests, which are now recorded
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	Compliments, complaints and concerns policy	This is expressly set out on page 3 in the Compliments, Complaints and Concerns Policy published on the website
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	Compliments, complaints and concerns policy	Page 4 in the policy states about survey feedback. The HR team will ask if there is a wish for dissatisfaction raised in feedback to be raised as a complaint and forward to the relevant manager to deal with.

## 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	Compliments, complaints and concerns policy	Reasons for not accepting a complaint are expressly set out in the Policy published on the website
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"> <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	Compliments, complaints and concerns policy	<p>Reasons for not accepting a complaint are expressly set out in the Policy on pages 3 and 4, as per the code requirements.</p> <p><b>Action taken:</b> The policy was adapted on review to show issues occurring over 12 months ago from the 6 months that was originally stated.</p>

2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.	Yes	Compliments, complaints and concerns policy	The policy states on page 4 that every complaint will be considered on its own merit. Issues within the last 12 months will always be accepted.
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	Compliments, complaints and concerns policy	The policy on page 4 explains the exclusions and action taken if a complaint is not accepted for valid reasons, including the right to appeal 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	Compliments, complaints and concerns policy	Every complaint is individually investigated and considered.

### 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	Compliments, complaints and concerns policy	<p>Clients can make a complaint in whatever way is best for them -</p> <ul style="list-style-type: none"> <li>• In person</li> <li>• By phone</li> <li>• Via our website</li> <li>• In writing – letter, customer feedback forms</li> <li>• By email to the manager or enquiries@ymcabournemouth.org.uk which will then be directed to the appropriate manager.</li> </ul> <p>Page 4 states that a member of staff or representative will help to write up the complaint if required and AI can be used to translate if required.</p> <p><b>Action taken:</b> Clients do not tend to write a written complaint but verbal complaints are now to be recorded and acted upon.</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	<p>Compliments, complaints and concerns policy</p> <p>YMCA induction training.</p>	<p>All staff are aware of the Complaints policy as part of induction and training and know who the appropriate person to pass on the complaint to. The policy is available on our HR portal for all staff to access. Team Leaders and the Housing Lead deal with the complaints.</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	Compliments, complaints and concerns policy	Complaints monitoring is part of our KPI's and feedback will be shared with our Board of Trustees. The focus is on resolving the issues and in a timely manner rather than the just the numbers involved. Staff are encouraged to deal with issues that are raised in a positive manner for improvement purposes.
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	Compliments, complaints and concerns policy	The policy, which is also on the website, clearly sets out the policy and procedures to follow including the two stage process and timescales. Clients receive a handbook with this information included.
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	Compliments, complaints and concerns policy	This is included within the policy on pages 7-8 and details are also included on the YMCA website.
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	Compliments, complaints and concerns policy	The policy on page 4 states that we are happy to assist with our staff in making complaints or use a representative to help if needed.

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	Compliments, complaints and concerns policy and resident handbook. Also on the YMCA website.	Our website and policy clearly explain the details for the Ombudsman and the resident handbook also states this and also their right access this service.
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#### 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	Compliments, complaints and concerns policy	The Housing Lead and Team Leaders deal with complaints. With the support of the Chief Operating Officer, who will deal with the Ombudsman and reporting to the YMCA Board of Trustees. <b>Action taken:</b> Section on responsibilities added to policy on page 6
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	Compliments, complaints and concerns policy	The Complaints Officer report directly to the Exec team for complaints and they have access to all staff to resolve any 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	Yes	Compliments, complaints and concerns policy	Induction training on complaint handling. <b>Action taken:</b> A culture of learning is in place now with feedback at team meetings to all staff.
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### Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.	Yes	Compliments, complaints and concerns policy	The complaints policy is the only one used by YMCA Bournemouth and is on our website. All residents who complain are treated the same as those who do not.
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	Compliments, complaints and concerns policy	Our policy contains two stages as per the code. <b>Action taken:</b> The Policy did have informal action as stage one but this has been made clearer and ensures it is two stages only.
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	Compliments, complaints and concerns policy	The policy reflects a 2 stage process

5.4	Where a landlord's complaint response is handled by a third party (e.g. a contractor or independent adjudicator) at any stage, it must form part of the two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes.	Yes	N.A	We do not have a third party process involved. Any contractors involved in a complaint would be dealt with by YMCA Bournemouth as part of our process.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	N.A	As above, YMCA deal with this.
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	Compliments, complaints and concerns policy and complaints form	The form used to record complaints is clear and shown in the policy. The resident will be asked for clarification as required.
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	Compliments, complaints and concerns policy	This is current practice when responding to a complaint.
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</li> </ul>	Yes	Compliments, complaints and	As the policy sets out staff are trained to deal with reach complaint on its merits and opportunity given to set out the issues. Action will then be taken based on all

	<p>set out their position;</p> <p>c. take measures to address any actual or perceived conflict of interest; and</p> <p>d. consider all relevant information and evidence carefully.</p>		concerns policy	the relevant information.
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	Compliments, complaints and concerns policy	The policy sets out this and is a practice which is followed with regular ongoing contact.
5.10	Landlords must make reasonable adjustments for residents where appropriate under the Equality Act 2010. Landlords must keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review.	Yes	Compliments, complaints and concerns policy	This is set out in the policy under Equality and Diversity on page 2. Any reasonable adjustments will be recorded on the form.
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	Compliments, complaints and concerns policy	This is current practice and the YMCA believe in an open and fair process that should be followed, giving access to discuss complaints and to appeal.
5.12	A full record must be kept of the complaint, and the outcomes at each	Yes		All complaints are recorded and kept in hard copy and

	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.		Compliments, complaints and concerns policy	on our online portal. <b>Action taken:</b> Online portal to include the complaints data
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	Compliments, complaints and concerns policy	Our stated policy aims are to resolve complaints at the earliest opportunity and complaint handlers are provided with the training and resources to fulfil this commitment. We have a high proportion of complaints being resolved at stage 1.
5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives. Landlords must be able to evidence reasons for putting any restrictions in place and must keep restrictions under regular review.	Yes	Compliments, complaints and concerns policy  Work related violence policy and anti-social behaviour.	We have an anti-social behaviour policy and work related violence policy to manage unacceptable behaviour. Signs also indicate we do not tolerate staff being abused or threatened in any way.
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	Compliments, complaints and concerns policy	Due regard to the Equality and Diversity Act are taken on board in all our policies.

## 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	Compliments, complaints and concerns policy	The Complaints Officer reviews all complaints and service requests as quickly as possible but within 5 days of the initial complaint. Few complaints need to go to stage 2. This is shown in the policy pages 4-5 and the procedure on page 7.
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	Compliments, complaints and concerns policy	This is set out in the procedures and complied with. <b>Action taken:</b> Improvements to the logging of complaints made
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	Compliments, complaints and concerns policy	This is set out in the procedures and complied with.

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	Compliments, complaints and concerns policy	This is set out in the policy and the Complaints Officer will inform the client if an extension is required due to complexity and when a response is to be expected.
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	Compliments, complaints and concerns policy	This is provided in the policy, in the residents handbook and as required.
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	Compliments, complaints and concerns policy	This is current working practice and will be done within the timescales set out in the policy. Outstanding actions will be tracked to ensure they are completed.
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	Compliments, complaints and concerns policy	This is current working practice and will be done as part of the response to the complaint. Areas where it is upheld, partially or not are made clear and reference policy and law as relevant.

6.8	<p>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.</p>	Yes	Compliments, complaints and concerns policy	<p>This is standard practice as part of the investigation into the initial complaint. If further issues are raised after investigation they will be looked into separately.</p>
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"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <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 stage 2 if the individual is not satisfied with the response.</li> </ul>	Yes	Compliments, complaints and concerns policy	<p>The response to the client is clear and follows the policy as detailed on page 5.</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	Compliments, complaints and concerns policy	Stage 2 is clearly set out in the policy and made clear to clients and to whom they should speak to next if not satisfied.
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	Compliments, complaints and concerns policy	<b>Action taken:</b> Policy updated to reflect this 5 day response period
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	Compliments, complaints and concerns policy	This is set out in the policy and the Complaints Officer will not question this but hand over to the Executive Manager to deal with stage 2 and find out why the client remains unhappy.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Compliments, complaints and concerns policy	This is standard practice and an Exec team member will deal with stage 2 appeals. If an Executive dealt with stage 1 then another Exec member in this team will review the complaint.
6.14	Landlords must issue a final response to the stage 2 <b><u>within 20 working days</u></b> of the complaint being acknowledged.	Yes	Compliments, complaints and concerns policy	<b>Action taken:</b> Policy updated to reference a response within 20 days



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	Compliments, complaints and concerns policy	This is standard practice and is followed by the Executive team.
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	Compliments, complaints and concerns policy	This is standard practice with the Ombudsman details always being provided.
6.17	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes	Compliments, complaints and concerns policy	This is current working practice and will be done within the timescales set out in the policy. Outstanding actions will be tracked to ensure they are completed.
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	Compliments, complaints and concerns policy	This is current working practice and will be done as part of the response to the complaint. Areas where it is upheld, partially or not are made clear and reference policy and law as relevant

6.19	<p>Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:</p> <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> <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>	Yes	Compliments, complaints and concerns policy	The response to the client is clear and follows the policy as detailed on page 5.
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Compliments, complaints and concerns policy	The Executive team deal with stage 2 appeals so have the authority to make final decisions.

## 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	Compliments, complaints and concerns policy	<p><b>Action taken:</b> Section added to the policy to make this explicit. Standard practice is to do this via the written response where an apology may be offered, explanations and action that is to be taken if upheld or partially upheld.</p>
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Compliments, complaints and concerns policy	The complaints Officer will consider the response based on impact to 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.	Yes	Compliments, complaints and concerns policy	The response letter is clearly set out to explain what will happen.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Compliments, complaints and concerns policy	<b>Action taken:</b> The policy has been updated to reference the Ombudsman appropriate remedies and these will be considered by the Complaints Officer dealing with the issue and Senior Management.

## 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	Self-assessment, annual report and feedback from Board.	<p><b>Action taken:</b> This annual self-assessment has been carried out against the new code and actions have been identified and the policy updated.</p> <p>Complaints handling performance reports will be produced on a quarterly basis for the trustees and are incorporated into regular KPI / Management Information and will include any complaints not accepted and improvements made. An annual complaints report was presented to the Board this year and any feedback from the Ombudsman will be incorporated.</p>

8.2	The annual complaints performance and service improvement report must be reported to the landlord's governing body (or equivalent) and published on the on the section of its website relating to complaints. The governing body's response to the report must be published alongside this.	Yes	Board reports and annual report	The Board receive regular reports and the annual self assessment, performance report, and Board feedback is on our website.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	N.A currently	Noted – any significant changes will result in a self-assessment.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	N.A currently	Noted – self-assessment will be updated if we have any 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	N.A currently	Noted and any problems will be raised with the Ombudsman and clients will be informed, with timescale to return to compliance.

## 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	Annual performance review	This will be achieved through our regular reporting on complaints and lessons learned including regular scrutiny by the Governance and People Committee
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	Annual performance review	<b>Action taken:</b> The number of complaints for last year were low. We have a positive handling culture but will make it easier for clients to complain and ensure all details are recorded better. To introduce more positive changes to the service
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	Board reports including annual feedback on the complaints performance review	The Board of trustees receive regular feedback. <b>Action taken:</b> On top of this the residents will be provided with feedback at client meetings
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	Yes	Compliments, concerns and complaints policy	The Housing Lead and Team Leaders deal with all complaints as per the policy with the Executive support

	potential systemic issues, serious risks, or policies and procedures that require revision.			and available for stage 2 of the procedure. The COO will also be responsible for updating the policy and procedures.
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	Board minutes shows a Champion on the Board of trustees.	<b>Action taken:</b> The Board have appointed a Champion to support positive complaint handling and work with the Exec team and specifically the COO.
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	Board reports and minutes.	<b>Action taken:</b> The Board Champion and COO work together to produce the reports and have insight given to the Board as a whole.
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: <ul style="list-style-type: none"> <li>a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;</li> <li>b. regular reviews of issues and trends arising from complaint handling;</li> <li>c. regular updates on the outcomes of the Ombudsman's investigations and</li> </ul>	Yes	Quarterly reports are provided to the Board.	The COO working with the MRC produce reports that the while Board reviews. This covers numbers, outcomes, reviews of trends, and any ombudsman feedback. The annual performance review is also produced.



	<p>progress made in complying with orders related to severe maladministration findings; and</p> <p>d. annual complaints performance and service improvement report.</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> <p>a. have a collaborative and co-operative approach towards resolving complaints, working 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>	Yes	Compliments, Complaints and concerns policy	<p>This is set out in the policy and procedures to ensure everyone is working to the same professional, standard objectives and this ensures collaboration and collective responsibility as per the code.</p>