

## Appendix A: Self-assessment form 2024

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	Central Court & Hostel Complaints Policy  Norman Salisbury Court Complaints Policy	Specified in Paragraph 1.2 in each of these policies
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	Central Court & Hostel Complaints Policy  Norman Salisbury Court Complaints Policy	Our Complaint Policy is in line with the new Code of Complaints which defines they do not have to use the word complaint for it to be treated as one.
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	Central Court & Hostel Complaints Policy  Norman Salisbury Court Complaints Policy  Comments, Compliments & Suggestions Policy	There is a clear demarcation between a service request where the recipient is seeking a remedy and making a complaint about a service failure.



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	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy	A complaint case is opened and will run alongside the initial service request
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	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy	When perception surveys are issued, residents have the opportunity to have a follow up call with Complaints Officer if they wish.

## 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	Yes	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy	If we are unable to accept a complaint, a written response is provided to the customer with reason why and the Housing

	complaint must be considered on its own merits			Ombudsman details included in the response.
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	<p>Central Court &amp; Hostel Complaints Policy Complaints Form – Central Court &amp; Hostel</p> <p>Norman Salisbury Court Complaints Policy Complaint Form – Norman Salisbury Court</p>	<p>We have two documents: identical in nature (one policy) but named up for two different services</p> <p>Central Court &amp; Hostel is Supported Housing</p> <p>Norman Salisbury Court is General Needs Housing</p>
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>Central Court &amp; Hostel Complaints Policy Complaints Form – Central Court &amp; Hostel</p> <p>Norman Salisbury Court Complaints Policy Complaint Form – Norman Salisbury Court</p>	<p>Complaints will be assessed on an individual basis and discretion applied for complaints outside of the 12 months.</p>

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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	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy	If we are unable to accept a complaint, a written response is provided to the customer with Housing Ombudsman details included in the response.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy	Stated in paragraph 2.5 of the Complaints Policy

### 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	Central Court & Hostel Complaints Policy Complaints Form – Central Court & Hostel Norman Salisbury Court Complaints Policy Complaint Form – Norman Salisbury Court	Copies of these policies and complaint forms are available from all YMCA Receptions, on our website and are contained within packs to all new residents.  The Complaints Form for both services highlights the ways in which they can

			YMCA St Helens website.	complain and how they can be supported to do so.
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>Central Court &amp; Hostel Complaints Policy Complaints Form – Central Court &amp; Hostel</p> <p>Norman Salisbury Court Complaints Policy Complaint Form – Norman Salisbury Court</p>	<p>Copies of these policies and complaint forms are available from all YMCA Receptions, on our website and are contained within packs to all new residents.</p> <p>Our Complaints Policies are mandatory reading for all frontline staff and this is monitored.</p> <p>All YMCA St Helens staff are provided with Complaint Handling Training.</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	<p>Central Court &amp; Hostel Complaints Policy</p> <p>Norman Salisbury Court Complaints Policy</p>	<p>We promote our Complaints policy and process along with the Housing Ombudsman Service and Complaint Handling Code on our website.</p> <p>We also display complaints forms within communal areas of our supported housing and reception areas.</p>



				All YMCA St Helens staff are provided with Complaint Handling Training
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	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy YMCA St Helens website	Copies of these policies and complaint forms are available from all YMCA Receptions, on our website and are contained within packs to all new residents.  All definitions, the stages and how they work, how customers transition between stages and all timeframes are included within the policies.
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	Central Court & Hostel Complaints Policy Complaints Form – Central Court & Hostel  Norman Salisbury Court Complaints Policy Complaint Form – Norman Salisbury Court  YMCA St Helens website	On the accommodation tab we include a link to a page containing the relevant accommodation policies, the self-assessment and the Housing Ombudsman details.
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or	Yes	Central Court & Hostel Complaints Policy	Contained within these policies.

	accompanied at any meeting with the landlord.		Norman Salisbury Court Complaints Policy	
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	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy YMCA St Helens website	Contained within these policies.

#### 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	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy	All YMCA St Helens staff are provided with Complaint Handling Training
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	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy	Sarah Challands, Director of Operations is the designated Complaints Officer. She has access to quick resolution and is empowered to exercise autonomy and authority.

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	Central Court & Hostel Complaints Policy  Norman Salisbury Court Complaints Policy  YMCA Staff Training Records	All YMCA St Helens staff are provided with Complaint Handling Training.
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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	Central Court & Hostel Complaints Policy  Norman Salisbury Court Complaints Policy	We have two documents: identical in nature (one policy) but named up for two different services  Central Court & Hostel is Supported Housing  Norman Salisbury Court is General Needs Housing
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	Central Court & Hostel Complaints Policy Complaints Form – Central Court & Hostel  Norman Salisbury Court Complaints Policy	We always seek to understand the outcome a customer is looking for and work with the customer to find a mutually agreeable solution

			Complaint Form – Norman Salisbury Court	
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	Central Court & Hostel Complaints Policy Complaints Form – Central Court & Hostel  Norman Salisbury Court Complaints Policy Complaint Form – Norman Salisbury Court	We currently only have two formal complaint stages – stage 1 and stage 2.
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.	N/A		Not applicable to YMCA St Helens as we handle all complaints inhouse.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	N/A		Not applicable to YMCA St Helens as we handle all complaints inhouse.
5.6	When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. The Code will refer to this as “the complaint definition”. If any aspect of the complaint is unclear,	Yes	Central Court & Hostel Complaints Policy Complaints Form – Central Court & Hostel  Norman Salisbury Court Complaints Policy	A summary is provided within the acknowledgement letter. We also ask the complainant to explain their reason for escalating their complaint using questions. If this is not clear, contact will

	the resident must be asked for clarification.		Complaint Form – Norman Salisbury Court	be made to establish and clarify this information.
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	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy	If an element of the complaint is not to be progressed or accepted in its entirety in both instances, reference will be made to the reasons why or the exclusions highlighted within the Complaints Policy, this will be confirmed in any communication to complainant along with their right to approach the Housing Ombudsman. Contact details for the Ombudsman are provided in complaint outcome responses.
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	Central Court & Hostel Complaints Policy Complaints Form – Central Court & Hostel Norman Salisbury Court Complaints Policy Complaint Form – Norman Salisbury Court	All YMCA St Helens staff are provided with Complaint Handling Training.

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	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy	If we need more time, we will agree this with the resident and confirm the extension in writing. We use a complainant's preferred method of communication during the investigation of their complaint. We share when and how we will communicate with them and, when asked, we will adapt
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	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy Equality, Diversity & Inclusion Policy YMCA Staff Training Records	We have a published Equality, Diversity and Inclusion Policy which covers all relevant aspects to ensure we consider and provide accessible and inclusive services which meet diverse needs. These documents are referenced in our policy.  All YMCA Staff receive Equality, Diversity & Inclusion training as core e-learning at induction and refresher training.
5.11	Landlords must not refuse to escalate a complaint through all stages of the complaints procedure unless it has	Yes	Central Court & Hostel Complaints Policy	We ask residents to answer questions as part of their request to escalate to stage

	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.		Norman Salisbury Court Complaints Policy	2. If they do not answer the questions, we will contact them to establish this. If we were to refuse to escalate, we would explain in writing, including guidance on next steps. We also articulate in our policy where we would not accept a complaint such as matter being dealt with through legal action.
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	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy Complaints Log and documents is available from the Complaints Officer	All notes and contacts in relation to the investigation of the complaint will be held in our complaints management system held by the Complaints Officer
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	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy	We endeavour to resolve complaints at the earliest opportunity. YMCA Housing Staff are empowered to take ownership and have the authority to provide resolutions.
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	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy	Managing Unacceptable Behaviour Policy in place.

	putting any restrictions in place and must keep restrictions under regular review.		Managing Unacceptable Behaviour Policy	
5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.	Yes	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy Managing Unacceptable Behaviour Policy	Consideration is given to all protected characteristics under the Equality Act 2010 to eliminate discrimination, advance equality of opportunity and foster good relations. Before restricting a customer's contact, consideration will be given to ensure the sanctions are proportionate considering 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	Yes	Central Court & Hostel Complaints Policy Complaints Form – Central Court & Hostel	Our policy statements refer to resolving issues and putting things right as quickly as possible.



	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.		Norman Salisbury Court Complaints Policy Complaint Form – Norman Salisbury Court	
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	Central Court & Hostel Complaints Policy Complaints Form – Central Court & Hostel  Norman Salisbury Court Complaints Policy Complaint Form – Norman Salisbury Court	Our policy aims to acknowledge stage one no longer than 5 working days. We monitor our performance in this area on a monthly basis and as part of our Tenant Satisfaction Measures
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	Central Court & Hostel Complaints Policy Complaints Form – Central Court & Hostel  Norman Salisbury Court Complaints Policy Complaint Form – Norman Salisbury Court	We express our aim to respond within the timescales stated.  We monitor our performance in this area on a monthly basis and as part of our Tenant Satisfaction Measures
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	Yes	Central Court & Hostel Complaints Policy	If an extension is required, we will explain the reason(s) why we need more time, we will agree this with the

	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.		Norman Salisbury Court Complaints Policy	customer and confirm the extension in writing
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	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy	Details of the Housing Ombudsman are detailed in extension letters
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	Central Court & Hostel Complaints Policy Complaints Form – Central Court & Hostel  Norman Salisbury Court Complaints Policy Complaint Form – Norman Salisbury Court	Updates and substantive responses will be provided as soon as the result is known. Contact will be maintained with the customer until all outstanding actions are tracked and complete.
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	Central Court & Hostel Complaints Policy  Norman Salisbury Court Complaints Policy	Response letter templates prompt and provide guidance to ensure all points raised are responded to and the rationale for all decisions are presented.

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	Central Court & Hostel Complaints Policy  Norman Salisbury Court Complaints Policy	This point is covered in section 6.8 of the policy.
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.	Yes	Central Court & Hostel Complaints Policy  Norman Salisbury Court Complaints Policy	Letter templates provide all of these details.

Stage 2

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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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	<p>Central Court &amp; Hostel Complaints Policy Complaints Form – Central Court &amp; Hostel</p> <p>Norman Salisbury Court Complaints Policy Complaint Form – Norman Salisbury Court</p>	Our policy details if the customer remains dissatisfied with all or part of the Stage 1 response, they can escalate to Stage 2. We operate a 2-stage process and our response at this stage will be final.
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	<p>Central Court &amp; Hostel Complaints Policy Complaints Form – Central Court &amp; Hostel</p> <p>Norman Salisbury Court Complaints Policy Complaint Form – Norman Salisbury Court</p>	If a resident requests escalation this is carried out in accordance with the procedure and timescales.
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	<p>Central Court &amp; Hostel Complaints Policy Complaints Form – Central Court &amp; Hostel</p> <p>Norman Salisbury Court Complaints Policy Complaint Form – Norman Salisbury Court</p>	We would try to establish this to reach a satisfactory resolution.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Central Court & Hostel Complaints Policy Complaints Form – Central Court & Hostel	Justin Hill; Chief Executive is responsible for considering stage 2 complaints

			Norman Salisbury Court Complaints Policy Complaint Form – Norman Salisbury Court	
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	Central Court & Hostel Complaints Policy Complaints Form – Central Court & Hostel  Norman Salisbury Court Complaints Policy Complaint Form – Norman Salisbury Court	Policy advises we will respond in 20 working days. Performance in this area is monitored and reported monthly and through TSM's
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	Central Court & Hostel Complaints Policy Complaints Form – Central Court & Hostel  Norman Salisbury Court Complaints Policy Complaint Form – Norman Salisbury Court	We also explain how if we need more time, we will agree this with the resident and confirm this in writing.
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	Central Court & Hostel Complaints Policy  Norman Salisbury Court Complaints Policy	Our extension letters include the Housing Ombudsman contact details
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	Yes	Central Court & Hostel Complaints Policy	Within our policies, updates and substantive responses will be provided as soon as the result is known. Contact

	the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.		Norman Salisbury Court Complaints Policy	will be maintained with the resident until all outstanding actions are complete.
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	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy	Response letters prompt and provide guidance to ensure all points raised are responded to and the rationale for all decisions are presented.
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.	Yes	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy	Letter templates provide all of these details.
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy	Response at Stage 2 clearly states this is our final response and will involve all relevant staff to provide this.

## 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	<p>Central Court &amp; Hostel Complaints Policy</p> <p>Norman Salisbury Court Complaints Policy</p>	All YMCA St Helens staff are provided with Complaint Handling Training.
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	<p>Central Court &amp; Hostel Complaints Policy</p> <p>Norman Salisbury Court Complaints Policy</p>	This will be considered at Stage 1 and Stage 2 response as appropriate.
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	<p>Central Court &amp; Hostel Complaints Policy</p> <p>Norman Salisbury Court Complaints Policy</p>	Response will include a plan of action to enable these to be proactively managed to completion.

7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Central Court & Hostel Complaints Policy  Norman Salisbury Court Complaints Policy	Guidance will be considered along with the individual need of the complainant and details of the complaint to provide appropriate remedies to the issue(s) being experienced.
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### Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Yes	Central Court & Hostel Complaints Policy  Norman Salisbury Court Complaints Policy  *Annual Complaints Performance & Service Improvement Report 2023-2024  Housing Ombudsman Self-Assessment – against the Complaint Handling Code	We will comply with regulatory guidance within the required timeframes. This will be published and shared widely with customers.  *This report was delayed in going to a meeting of the Board of Directors owing to sickness absence by the Director of Operations and subsequently was not submitted to the Housing Ombudsman by the required date 30 <sup>th</sup> June 2024.



	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.	Yes	<p>Central Court &amp; Hostel Complaints Policy.</p> <p>Norman Salisbury Court Complaints Policy.</p> <p>*Annual Complaints Performance &amp; Service Improvement Report 2023-2024.</p> <p>YMCA St Helens website.</p> <p>Housing Ombudsman Self-Assessment</p>	<p>The Housing Ombudsman self-assessment will be published to YMCA website within the accommodation tab, along with the Annual complaints performance and service improvement.</p> <p>*This report was delayed in going to a meeting of the Board of Directors owing to sickness absence by the Director of Operations and subsequently was not submitted to the Housing Ombudsman by the required date 30<sup>th</sup> June 2024.</p>

8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy	We will review as per guidance.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy	We will review as per guidance.
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	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy	We will comply with the code unless exceptional circumstances prevent us from doing so, where business continuity plans will be put into operation for a return to business as usual, as soon as possible.

### 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	Central Court & Hostel Complaints Policy Norman Salisbury Court Complaints Policy	We use complaints to identify themes and trends to provide a broader picture for service improvement learning and opportunities

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>Central Court &amp; Hostel Complaints Policy</p> <p>Norman Salisbury Court Complaints Policy</p>	<p>All YMCA St Helens staff are provided with Complaint Handling Training.</p> <p>We view complaints as an opportunity to learn and improve services for the wider customer base. We use complaints to identify themes and issues to create improvement opportunities within service delivery.</p>
9.3	Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees.	Yes	<p>Central Court &amp; Hostel Complaints Policy</p> <p>Norman Salisbury Court Complaints Policy</p> <p>Annual Complaints Performance &amp; Service Improvement Report 2023-2024</p>	We publish learnings on our website and in our Tenants Annual Review. A quarterly report is provided to Housing Sub-Committee.
9.4	Landlords must appoint a suitably senior lead person as accountable for their complaint handling. This person must assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.	Yes	<p>Central Court &amp; Hostel Complaints Policy</p> <p>Norman Salisbury Court Complaints Policy</p>	Sarah Challands; Director of Operations has designated responsibility for being the Complaints Officer.

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	Central Court & Hostel Complaints Policy  Norman Salisbury Court Complaints Policy	David Hickman; Vice Chair of YMCA St Helens Board of Directors is 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.	Yes	Central Court & Hostel Complaints Policy  Norman Salisbury Court Complaints Policy	MRC has access to staff at Senior leadership level, and Operational level.
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	Yes	Central Court & Hostel Complaints Policy  Norman Salisbury Court Complaints Policy  Annual Complaints Performance & Service Improvement Report 2023-2024  Annual Self-Assessment 2024	We provide a quarterly report to our Housing Sub-Committee, which the MRC is a member, which includes:  - Performance on case handling - Statistical data on complaints - Details of all cases investigated by the Housing Ombudsman. - Complaint learning activity and findings.

	d. annual complaints performance and service improvement report.			<p>- Audit or risk activity relating to the complaints service.</p> <p>- An update on initiatives and progress.</p> <p>Annual Self - assessment against the Complaint Handling Code</p> <p>Annual Complaints Performance &amp; Service Improvement Report will be shared.</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	<p>Central Court &amp; Hostel Complaints Policy</p> <p>Norman Salisbury Court Complaints Policy</p> <p>YMCA St Helens Values.</p>	<p>Our values and behaviours are well documented in Induction and PDR's, communicated to colleagues and embedded in our culture through effective leadership. Our behaviours include those specific to how we interact with our customers.</p>

