

Appendix A: Self-assessment form

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

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

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

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

Section 1: Definition of a complaint

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
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| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | YMCA Leicestershire work within the organisations Complaints Policies. Please refer to the Aims and Purpose in the attached Policy Documents |
| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | Residents expressing dissatisfaction even when the word complaint is not used will be supported in accordance to 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 | Yes | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | Service requests are identified at the point of initial discussion with housing teams and reported to property and maintenance via a Maintenance Request Form. This is monitored |

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| | recorded, monitored and reviewed regularly. | | Property and Maintenance Request Spreadsheet (logs service requests/repairs and is monitored daily) | daily and tracked by management |
| 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 | Complaint forms are available together with other methods of raising a complaint as detailed in Organisational Policies. The complaint form can also be accessed via YMCA website. | The complaint would be raised internally and reviewed with the Property and Maintenance Manager and monitored |
| 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 | Young Person's Feedback Questionnaire | Residents are asked to complete a Feedback Questionnaire, with the support of staff if required, every 6 – 12 months |

Section 2: Exclusions

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
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| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | We have a robust complaints procedure that is followed |
| 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"> The issue giving rise to the complaint occurred over twelve months ago. Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. | Yes | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | We take all complaints and expressions of dissatisfaction seriously in line with the organisational complaints procedures |

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| | <ul style="list-style-type: none"> Matters that have previously been considered under the complaints policy. | | | |
| 2.3 | Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so. | Yes | <p>Policy and Procedures: All complaints and expression of dissatisfaction will be considered and used to improve service delivery and support practice</p> | We take all complaints and expressions of dissatisfaction seriously in line with the organisational complaints procedures |
| 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 | <p>Policy and Procedures: All complaints and expression of dissatisfaction will be considered and used to improve service delivery and support practice</p> | We take all complaints and expressions of dissatisfaction seriously in line with the organisational complaints procedures |
| 2.5 | Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint. | Yes | <p>Supported Accommodation: Complaints Policy (16-17 years old)</p> <p>Supported Accommodation: Complaints Policy (18+)</p> | All complaints or expression of dissatisfaction are considered on a case by case basis |

Section 3: Accessibility and Awareness

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
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| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | All complaints or expression of dissatisfaction are considered on a case by case basis |
| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | All complaints or expression of dissatisfaction are considered on a case by case basis with support offered by staff if required, residents also have access to a Suggestion Box. Staff sign a Policy Read and Accept Form The complaints policies are reviewed annually and staff are updated on any changes |

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| 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 Policy and Procedures Licence Agreement Individual Key Work Sessions Residents Meetings Suggestion Box Young Person Feedback Questionnaire Resident Exit Survey | Residents have a multitude of ways to make a complaint or express dissatisfaction |
| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | YMCA Leicestershire accommodate young people aged 16 – 25 years old. We recognise that our client group is considered vulnerable and may have experienced trauma and/or be a Looked After Child or Care Leaver. This has been considered when we have written and updating our Complaints Policies. These are easy read, contain no jargon and are reviewed/updated annually. |
| 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 | Supported Accommodation: Complaints Policy (18+) | Includes link information to the Ombudsman and the Code |

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| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | Policies include lists of support services and option of YMCA Leicestershire staff |
| 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 | Supported Accommodation: Complaints Policy (18+) | Includes link information to the Ombudsman and the Code Policies include lists of support services and option of YMCA Leicestershire staff to support |

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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | Name and contact details of Complaints Officer are listed on all Policy and Procedures |
| 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 | Complaints Officer Role and Responsibilities | Director of Housing oversees all support and accommodation |
| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | Housing Managers initially oversee and manage all complaints or expression of dissatisfaction. There is a clear timed response pathway. |

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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | The Complaints Officer will ensure that no young person is subject to any reprisal for making a complaint or representation |
| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | The stages of a complaint are detailed clearly. |
| 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 | Supported Accommodation: Complaints Policy (18+) | This policy has been updated and now has a 2 stage process, total complaints process 10 days Policy includes link information to the Ombudsman and the Code. Policies include lists of support services and option of YMCA Leicestershire staff to support |

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| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | Any third parties to work in line with YMCA policy and procedures |
| 5.5 | Landlords are responsible for ensuring that any third parties handle complaints in line with the Code. | Yes | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | Any third parties to work in line with our policy and procedures |
| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | A resident completes the Complaints Form and if this is unclear support will be offered to provide further 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | A resident completes the Complaints Form and if this is unclear support will be offered to provide further clarification |

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| 5.8 | <p>At each stage of the complaints process, complaint handlers must:</p> <ol style="list-style-type: none"> deal with complaints on their merits, act independently, and have an open mind; give the resident a fair chance to set out their position; take measures to address any actual or perceived conflict of interest; and consider all relevant information and evidence carefully. | Yes | <p>Supported Accommodation: Complaints Policy (16-17 years old)</p> <p>Supported Accommodation: Complaints Policy (18+)</p> | All complaints or expression of dissatisfaction are considered on a case by case basis |
| 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 | <p>Supported Accommodation: Complaints Policy (16-17 years old)</p> <p>Supported Accommodation: Complaints Policy (18+)</p> | Any delays will be communicated to the residents |
| 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 | <p>Supported Accommodation: Complaints Policy (16-17 years old)</p> <p>Supported Accommodation: Complaints Policy (18+)</p> | Policies have been written in line with our Equality and Diversity Policy and have been written with consideration to client group |

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| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | All complaints are processed in line with policy and procedure |
| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | All complaints are stored electronically on a central Housing Management File |
| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | All complaints will be managed in accordance with the policy stages with a view to resolution at the earliest point |
| 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 | Licence Agreement Positive Behaviour Management Policy Conduct Agreement Risk Assessment Support Plan | Any unacceptable behaviour will be followed up in accordance with policy and procedure |

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| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | Any unacceptable behaviour will be considered on a case by case basis in accordance with the policy and procedure considering Risk Assessment, Support Plan and individual needs |
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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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | All complaints will be managed in accordance with the policy stages with a view to resolution at the earliest point |
| 6.2 | Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <u>within five working days of the complaint being received.</u> | Yes | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | A response will be made within 5 working days |
| 6.3 | Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged. | Yes | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | Full response will be made within 10 working days |

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| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | Full response will be made within 10 working days. Any investigation or complexities causing delays with the complaint will be clearly communicated to the resident |
| 6.5 | When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman. | Yes | Supported Accommodation: Complaints Policy (18+) | Policies include lists of support services and option of YMCA Leicestershire staff to support Policy Includes link information to the Ombudsman and the Code |
| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | A detailed response including any outstanding actions will be provided highlighting each point of the resident's complaint. This will be tracked and monitored by the Complaints Officer |
| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | A detailed response including any outstanding actions will be provided highlighting each point of the resident's complaint in line with policy, law and good practice |

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| 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 | <p>Supported Accommodation: Complaints Policy (16-17 years old)</p> <p>Supported Accommodation: Complaints Policy (18+)</p> | <p>All complaints or expression of dissatisfaction are considered on an individual case by case basis.</p> <p>Any additional information relating to the original complaint will be incorporated if raised within Stage 1 timeline.</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> <ol style="list-style-type: none"> a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response. | Yes | <p>Supported Accommodation: Complaints Policy (16-17 years old)</p> <p>Supported Accommodation: Complaints Policy (18+)</p> | <p>A detailed response including any outstanding actions will be provided highlighting each point of the resident's complaint in line with policy, law and good practice</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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | This policy has been updated and now has a 2 stage process, total complaints process 10 days |
| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | This policy has been updated and now has a 2 stage process, total complaints process 10 days |
| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | This policy has been updated and now has a 2 stage process, total complaints process 10 days |
| 6.13 | The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1. | Yes | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | Stage 1 – Management Stage 2 – Complaints Officer / Chief Executive Officer – total complaints process 10 days |

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| 6.14 | Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged. | Yes | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | Full response will be made within 10 working days. Any investigation or complexities causing delays with the complaint will be clearly communicated to the resident |
| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | Full response will be made within 10 working days. Any investigation or complexities causing delays with the complaint will be clearly communicated to the resident, if an extension is required with a view to resolution within 20 working days. |
| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | Includes link information to the Ombudsman and the Code Policies include lists of support services and option of YMCA Leicestershire staff to support |
| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | A detailed response including any outstanding actions will be provided highlighting each point of the resident's complaint. This will be tracked and monitored by the Complaints Officer. |

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| 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 | <p>Supported Accommodation: Complaints Policy (16-17 years old)</p> <p>Supported Accommodation: Complaints Policy (18+)</p> | YMCA Leicestershire accommodate young people aged 16 – 25 years old. We recognise that our client group is considered vulnerable and may have experienced trauma and/or be a Looked After Child or Care Leaver. This has been considered when we have written and updating our Complaints Policies. These are easy read, contain no jargon and are reviewed/updated annually. |
| 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"> 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 | <p>Supported Accommodation: Complaints Policy (16-17 years old)</p> <p>Supported Accommodation: Complaints Policy (18+)</p> | YMCA Leicestershire accommodate young people aged 16 – 25 years old. We recognise that our client group is considered vulnerable and may have experienced trauma and/or be a Looked After Child or Care Leaver. This has been considered when we have written and updating our Complaints Policies. These are easy read, contain no jargon and are reviewed/updated annually. |

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| 6.20 | Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response. | Yes | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | This policy has been updated and now has a 2 stage process, total complaints process 10 days |
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Section 7: Putting things right

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|--|------------------|---|---|
| 7.1 | <p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; • Taking action if there has been delay; • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; • Providing a financial remedy; • Changing policies, procedures or practices. | Yes | <p>Supported Accommodation: Complaints Policy (16-17 years old)</p> <p>Supported Accommodation: Complaints Policy (18+)</p> | <p>The purpose of this policy is to find out what went wrong and try to put things right for the future</p> |
| 7.2 | <p>Any remedy offered must reflect the impact on the resident as a result of any fault identified.</p> | Yes | <p>Supported Accommodation: Complaints Policy (16-17 years old)</p> <p>Supported Accommodation: Complaints Policy (18+)</p> | <p>YMCA Leicestershire accommodate young people aged 16 – 25 years old. We recognise that our client group is considered vulnerable and may have experienced trauma and/or be a Looked After Child or Care Leaver and therefore any remedy offered will</p> |

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| | | | | reflect the impact on the resident |
| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | YMCA Leicestershire accommodate young people aged 16 – 25 years old. We recognise that our client group is considered vulnerable and may have experienced trauma and/or be a Looked After Child or Care Leaver and any remedy will be clearly set out and followed through to completion. |
| 7.4 | Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies. | Yes | Detailed response to resident | Any appropriate remedies will take account of the Ombudsman guidance and appropriate policy, law and good practice. Policy includes link information to the Ombudsman and the Code |

Section 8: Self-assessment, reporting and compliance

| Code provision | Code requirement | Comply: Yes / No | Evidence | Commentary / explanation |
|----------------|--|------------------|---|---|
| 8.1 | <p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. | Yes | <p>Supported Accommodation: Complaints Policy (16-17 years old)</p> <p>Supported Accommodation: Complaints Policy (18+)</p> | <p>Annual Complaints Performance and Service Improvement Report will be produced annually (timescale with 12 weeks of organisational year-end) to include points as detailed in Code Provision 8.1, together with updated Self-Assessment and Complaint Policies.</p> <p>The Board of Trustees receive Monthly Briefings and Quarterly Board Reports from the Director of Housing / Complaints Officer that include details of any complaints</p> |

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| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | The annual complaints performance and service improvement report is sent to the Designated HR Trustee Board Member for response and is published on YMCA website |
| 8.3 | Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures. | Yes | If and when required | 8.3 will be considered following any restructure / merger. Policies are reviewed annually and any changes will generate an updated Self-Assessment |
| 8.4 | Landlords may be asked to review and update the self-assessment following an Ombudsman investigation. | Yes | If and when required | If and when required |
| 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 | If and when required | If and when required |

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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | Feedback is taken and used in reflective practice for any improvements and all complaints are managed on a case by case basis. |
| 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 | Supported Accommodation: Complaints Policy (16-17 years old) Supported Accommodation: Complaints Policy (18+) | Feedback is taken and used in reflective practice for any improvements and to bring change |
| 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 | Young Person Feedback Questionnaire and Exit Surveys Young Trustee's Suggestion Boxes Resident Meetings | Feedback is taken and used in reflective practice for any improvements |
| 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 | Yes | Supported Accommodation: Complaints Policy (16-17 years old) | Director of Housing/Complaints Officer |

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| | identify potential systemic issues, serious risks, or policies and procedures that require revision. | | Supported Accommodation: Complaints Policy (18+) | |
| 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 | Designated HR Trustee Board Member | The Board of Trustees receive Monthly Briefings and Quarterly Board Reports from the Director of Housing / Complaints Officer that include details of any 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 | Monthly Briefings and Quarterly Board Reports | The Board of Trustees receive Monthly Briefings and Quarterly Board Reports from the Director of Housing / Complaints Officer that include details of any complaints |
| 9.7 | As a minimum, the MRC and the governing body (or equivalent) must receive: <ul style="list-style-type: none"> a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and | Yes | Monthly Briefings and Quarterly Board Reports | The Board of Trustees receive Monthly Briefings and Quarterly Board Reports from the Director of Housing / Complaints Officer that include details of any complaints |

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| | <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 | <p>Internal Code of Conduct Disciplinary Policy Grievance Policy Whistle Blowing and Confidentiality Policy</p> | <p>YMCA Organisational Policy and Procedure</p> |