

## Appendix 1: Self-assessment form

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

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

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

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

## Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	A complaint must be defined as: <i>'an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.'</i>	Yes	Complaints and Feedback Policy	Defined in the Complaints and Feedback Policy. This policy is reviewed every three years (last review March 2024) or with every change in the Complaints Handling Code or following a determination from the Housing Ombudsman Service to ensure compliance.
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	Complaints and Feedback Policy	It is stipulated in our Customer Feedback that the word 'complaint' does not have to be used for a complaint to be identified and treated as one. The policy also makes it clear that complaints received via representatives will be considered in line with the policy, provided consent is given by the customer for the advocate to act on their behalf.
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	Complaints and Feedback Policy	Our Complaints and Feedback Policy outlines the difference between a service request and a Complaint. The Customer Experience Centre experts monitor the service requests that come in and try to recover where possible within 4 hours.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Complaints and Feedback Policy	This element is included in our Complaints and Feedback Policy.
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	The surveys we send to customers make it clear how to make a complaint	<p>All customer surveys are carried out by an external third party (MEL Research) who provide details of how to raise a complaint if a customer expresses dissatisfaction. The email surveys contain the following wording: If you are dissatisfied with the standard of service, actions, or lack of action by Yorkshire Housing, its colleagues, or those acting on behalf of Yorkshire Housing, you can make a complaint. "To make a complaint, pass on a compliment comment or suggestion you can:</p> <ul style="list-style-type: none"> <li>• Email: customerservices@yorkshirehousing.co.uk</li> <li>• Website: www.yorkshirehousing.co.uk</li> <li>• The Customer portal</li> <li>• Phone: 0345 3664404</li> <li>• Letter: The Place, 2 Central Place, Leeds, LS10 1FB</li> <li>• Social Media</li> <li>• Customer review sites</li> <li>• Face to face to any Yorkshire Housing member of staff</li> <li>• Via a local Councillor or Member of Parliament"</li> </ul>

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				The current surveys are a combination of email and telephone surveys, and the following surveys are in place as of April 2024: Tenancy Perception, Repairs, Complaints, Development, New Lettings, Planned Investment Work, Defects and End of Defects.

## 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	Complaints and Feedback Policy Quarterly Homes and Places Committee (HPC) packs	This is included in our Complaints and Feedback Policy and volumes/reasons included in quarterly HPC packs.
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> </ul> <p>1.1 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.</p>	Yes	Complaints and Feedback Policy	This is included in our Complaints and Feedback Policy

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	<ul style="list-style-type: none"> <li>Matters that have previously been considered under the complaints policy.</li> </ul>			
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	Complaints and Feedback Policy	This is included in our Complaints and Feedback Policy.
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	Complaints and Feedback Policy	This is included in our Complaints and Feedback Policy.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Complaints and Feedback Policy	This is included in our Complaints and Feedback 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	Complaints and Feedback Policy and Our Accessible Services Policy <a href="https://www.yorkshirehousing.co.uk/your-home/customer-policies/">https://www.yorkshirehousing.co.uk/your-home/customer-policies/</a>	Customers can make a complaint by email, letter, phone, in person, website, customer portal, social media or through a third party. All complaint channels are detailed in the Complaints and Feedback Policy and on our website.
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	We have e-Learning for all new starters at Yorkshire Housing as well as mandatory annual refresher training.	This is mandatory training for all Yorkshire Housing Colleagues. Current completion rate is 99.5% as of April 25.
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	The Complaints and Feedback Policy acknowledges the value of Complaints this is available on our website	The Complaints and Feedback Policy acknowledges the value of complaints, and the root cause analysis and action plans further demonstrates the value we gain from complaints.
3.4	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the 2-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	We have this on our website, and we send with the acknowledgment letters a customer version of our Complaints and Feedback Policy as well as the Accessible Services Policy	The link to the Complaints and Feedback Policy is accessible via the website. Complaints and Feedback Policy

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Complaints and Feedback Policy	We have sections relating to the Housing Ombudsman and the Complaint Handling Code in our Complaints and Feedback Policy. Our Policy is published on the Yorkshire Housing 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	Complaints and Feedback Policy	<p>The opportunity for customers to have a representative is set out within the Complaints and Feedback Policy. Any reasonable adjustments for customers, including being accompanied at any meetings are considered using the Accessible Services Policy. The Complaints and Feedback Policy states: "Customers can ask an advocate or representative to raise a complaint on their behalf. Yorkshire Housing will ask for consent to speak to them beforehand. This could be a family member, friend, social worker, or support worker. Advocates or representative of the customer can raise a complaint on behalf of the customer where the customer:</p> <ul style="list-style-type: none"> <li>• Is unable to complain themselves because of physical.</li> <li>• incapacity or a lack of capacity within the meaning of the Mental Capacity Act 2005.</li> </ul>

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				<ul style="list-style-type: none"> <li>Has requested the representative to act on their behalf (we require written consent from our customer that they have authorised the representative to act on their behalf, alternatively we may write to the customer to indicate that we have been contacted by an individual claiming to be their representative with authority to act on their behalf and give the customer the opportunity to refute it);</li> </ul> <p>1.2 We adopt the Housing Ombudsman's procedure when it comes to having a representative or advocate act on your behalf regarding a complaint, we will contact them and not the customer. When our customer agrees to this, they accept that Yorkshire Housing may give their Representative information about them and the complaint.</p> <p>1.3 Customers can only have 1 representative acting on their behalf per complaint. We will not liaise with multiple representatives.</p>
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	Complaints and Feedback Policy Complaints Handling Procedure	This is in our Complaints and Feedback Policy, and we do communicate this in our acknowledgement and stage 2 outcome responses.



## 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	We have a specialist, centralised complaint handling team which takes responsibility for managing complaints. The Homes and Places Committee of the Board receives quarterly complaints reports and has delegated responsibility. The Customer Voice and Review Committee and Complaints Forum monitor complaints handling from a customer perspective.	The complaints team have responsibility for complaint handling and ensuring complaints performance is visible at Board level.
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	Complaint Handling Procedures.	Our Complaints team not only have the authority but also the autonomy to address disputes promptly and fairly. This approach is in line with our values and priorities in relation to customer obsession.
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	Complaints officers have received extensive training on all aspects of complaints. This includes training on positive complaint handling behaviours and the need to act sensitively and fairly, with empathy.	Complaints are a priority across the business and the Team is resourced sufficiently. YH have a complaints capacity plan model which is data driven and the business areas all have keys actions to ensure learnings from the Root Cause Analysis.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			<p>The team have access to all systems and have a list of complaint service leads across the business to contact and get information quickly.</p> <p>They have the autonomy to resolve complaints quickly, offering customer focused remedies, including goodwill gestures and compensation.</p> <p>All learning is captured in a Root Cause and Analysis Report and action tracker, and this is overseen by Heads of Service to ensure improvements and outcomes are documented.</p>	

## Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.	Yes	Complaints and Feedback Policy	This is stipulated in our Complaints and Feedback Policy.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Complaints and Feedback Policy	Yorkshire Housing operates a 2 stage Complaints Policy. All complaints are logged onto the system. The Customer Experience Centre (CEC) colleagues have been trained in service recovery at the first point of contact wherever possible, making sure that it is always in agreement with the customer. Details are then recorded on our customer record management system so that we have a full audit trail and can use the insight as learning. Processes, policy, and systems are all aligned to make sure that customer complaints are logged and acknowledged within five days of receipt.
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	Complaints and Feedback Policy	Yorkshire Housing operates a two stage complaints 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	Complaints and Feedback Policy	Yorkshire Housing does not outsource its Complaint Management.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Complaints and Feedback Policy	Yorkshire Housing does not outsource its Complaint Management.
5.6	When a complaint is logged at stage 1 or escalated to stage 2, landlords	Yes	Complaints and Feedback Policy	The Complaints team sets this out as part of the complaint acknowledgement process and

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.		Complaints Procedures	in the acknowledgement letter. Customers are contacted by complaints officers with a welcome call to confirm their understanding.
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	Complaints and Feedback Policy	The Complaints team set this out as part of the complaint acknowledgement process and in the acknowledgement letter. Customers are contacted directly to confirm their understanding by doing a welcome call. We also aim to touch base during the complaint as well as an outcome call to discuss our findings and any compensation that may be required.
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	Complaints and other YH Procedures	All complaints officers receive training on how to investigate complaints fairly, fully, and independently. All colleagues receive General Data Protection Training (GDPR) which is clear around the responsibilities of not sharing information unless necessary. The Complaints team is independent of the rest of the business and intensively trained in complaint handling. Complaints are triaged within the Complaints team and any conflicts of interest are highlighted at the first point so that complaints are handled in a compliant way.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Complaints and Feedback Policy	As part of the investigation process, the Complaints team make an agreement with the customer on how and when the customer will be contacted. This personalised approach is recorded in the customer record management system.
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	Accessible Services Policy Complaint's procedures Where customer has a disability and requires support or any adjustments this is clearly marked on their profile/account.	We have a separate Accessible Services Policy, and all complaint handlers have had training on the policy and approach. This policy has been reviewed in partnership with our Customers, September 2023. There is a section on the Yorkshire Housing website for customers who may need reasonable adjustments.
a5.11	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	Complaints and Feedback Policy Complaints Procedures Quarterly HPC packs	Complaints and Feedback Policy details how we meet this requirement of the Code.
5.12	A full record must be kept of the complaint, and the outcomes at each stage. This must include the original complaint, and the date received, all correspondence with the resident, correspondence with other parties, and any relevant supporting documentation such as reports or surveys.	Yes	Full complaint, timeline, and actions captured on Salesforce	All details of the complaint and any evidence is saved within the new customer record management system Salesforce.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	We have a Compensation Policy and internal compensation guide that is aligned to the Housing Ombudsman Service Remedies guidance. Remedies guidance. All complaints officers are trained and empowered to provide the right remedy considering the service failure and detriment in each case. Complaints and Feedback Policy	All policies and procedures have been designed to ensure Yorkshire Housing meet the requirements of 5.13 with resolving the complaint at the forefront. Our compensation guide is published on our website.
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	Unreasonable Customer Behaviour Policy 2023 Complaints and Feedback Policy	We have an Unreasonable Customer Behaviour Policy in place which covers customers and their representatives. Details of unreasonable behaviour are on the Yorkshire Housing website.
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	Unreasonable Customer Behaviour Policy	The policy meets the requirements for this.

## 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	Complaints and Feedback Policy Complaint Procedures	All complaints are monitored and tracked by the Complaints Team Managers through a live performance management dashboard. Complaints performance is reported quarterly to Homes and Places Committee. We aim to resolve all complaints as early as possible and move resources around to ensure that early resolution and support to vulnerable customers is a priority. Any extensions due to exceptional circumstances are made in line with the complaint handling code and Yorkshire Housing alert the customer at the earliest opportunity. This is recorded on our customer record management system.
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaint's procedure <b><u>within five working days of the complaint being received.</u></b>	Yes	Complaints and Feedback Policy Complaints Procedures	Yorkshire Housing have this requirement set out in its two stage complaints process and monitor performance against this. The CRM system also has milestones to ensure we are working to the target date for the full response. We had 100% compliance on this in 2024/2025.
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	Complaints and Feedback Policy Complaints Procedures	Yorkshire Housing have this requirement set out in its two stage complaints process and monitor performance against this. The CRM system also has milestones to ensure we are working to the target date for the full response.
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the	Yes	Complaints and Feedback Policy Complaints Procedures	Our policies and procedures meet the requirements of the Code. Extensions are agreed by a team manager before going

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.			ahead. Then the customer is written to with a new outcome date.
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	Complaints and Feedback Policy Complaints Procedures Extension Letter	Our letters meet the requirements of 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	Complaints and Feedback Policy	The Complaints team record outstanding actions on an action tracker. Customers are advised at stage 1 and stage 2 of follow up actions with timescales. All actions are monitored within the Complaints team by the Complaints Officers and escalated to service teams and managers as required.
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	Complaints and Feedback Policy Complaints Procedures	Included in stage 1 and stage 2 outcome letters. Also outlined in the Complaints and Feedback Policy. The complaint officers ensure that all points raised in the complaint are responded to and detailed reasons for the decisions that have been made following the investigation of the complaint. All stage 1 and 2 letters are proofread, and quality checked.
6.8	Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if they are related	Yes	Complaints and Feedback Policy Complaints Procedures	Yorkshire Housing have this requirement set out in its stage 1 process.



Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	and the stage 1 response has not been issued. Where the stage 1 response has been issued, the new issues are unrelated to the issues already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.			
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: a. the complaint stage. b. the complaint definition. c. the decision on the complaint. d. the reasons for any decisions made. e. the details of any remedy offered to put things right. f. details of any outstanding actions; and g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.	Yes	Complaints and Feedback Policy Complaints Procedure	This is fully covered in the complaints team training, included in the Complaints and Feedback Policy, and incorporated into the outcome letter guidance templates and internal complaint guides. Additionally included in stage 1 and stage 2 outcome letters which are all quality checked by the Proofreader.

## 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	Complaints and Feedback Policy	Yorkshire Housing escalate all complaints unless the exclusion criteria applies to stage 2 for final resolution. The Complaints and Feedback Policy sets out the reason we would not accept or escalate a complaint. In these circumstances, the customer is informed in writing the reasons why. The customer is also informed by letter of their right to contact the Housing Ombudsman.
6.11	Requests for stage 2 must be acknowledged, defined, and logged at stage 2 of the complaint's procedure within five working days of the escalation request being received.	Yes	Complaints Procedures	This is clearly set out in the Yorkshire Housing Complaints and Feedback Policy and accompanying procedures and performance measured monthly. In 2024/2025 we were 100% compliant.
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	Complaints Procedures Complaints and Feedback Policy	This is clearly set out in the Yorkshire Housing Complaints and Feedback Policy and accompanying procedures and within staff training.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Complaints Procedures Complaints and Feedback Policy	The Yorkshire Housing processes are designed to ensure that a different officer deals with a complaint at each stage. Coordinators who assign the cases ensure complaints are handled in this way.
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	Complaints Procedures Complaints and Feedback Policy	This is detailed in the Complaints and Feedback Policy and is monitored and tracked by the Complaints team manager through a live performance dashboard.

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	Complaints Procedures Complaints and Feedback Policy	All extended complaints are tracked and monitored through the live dashboard.
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	Complaints Procedures Complaints and Feedback Policy	This is included in all letters to the complainants.
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	Complaints Procedures	This is detailed within Yorkshire Housing Complaints Procedures.
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	Complaints Procedures	The Yorkshire Housing procedures ensure compliance with this Code requirement and the complaint response letters 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. These are quality checked.
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.	Yes	Complaint Procedures stage 2 complaint response letters	Yorkshire Housing complaint response letters fully meet the requirements of the Code and are quality checked to ensure plain language and Yorkshire Housing tone of voice by the Proofreader.

	c. the decision on the complaint. d. the reasons for any decisions made. e. the details of any remedy offered to put things right. f. details of any outstanding actions; and g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.			
6.20	stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Complaints procedures.	All stage 2 responses are reviewed to ensure that the response delivers the best possible outcome for the customer.

## 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> </ul> <p>1.4 Taking action if there has been delay.</p> <ul style="list-style-type: none"> <li>• Reconsidering or changing a decision.</li> <li>• Amending a record or adding a correction or addendum.</li> <li>• Providing a financial remedy.</li> </ul>	Yes	Compensation policy Complaint Procedures Complaints and Feedback Policy	<p>Complaints team members are trained in making the right decisions when it comes to remedies, this includes compensation amounts. All decisions are designed to be effective, fair, and proportionate, with clear timescales.</p> <p>Complaints officers are trained in compensation consideration requirements, including agreeing effective, fair, and proportionate remedies, with clear timescales.</p> <p>The internal compensation guide is in line with the Housing Ombudsman Remedy Guidance and at stage 2 Officers can meet with their line manager to ensure they are offering the correct amount.</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	1.5 Changing policies, procedures, or practices			
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Complaint Procedures Compensation Policy and internal guide Complaints and Feedback Policy Our compensation guide is in line with the Housing Ombudsman Remedy guidance	Complaints officers are trained in compensation consideration requirements, including agreeing effective, fair, and proportionate remedies, with clear timescales. The internal compensation guide is in line with the Housing Ombudsman Remedy Guidance and at stage 2 Officers can meet with their line manager to ensure they are offering the correct amount.
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	Complaint Procedures	Complaints officers are trained in compensation consideration requirements, including agreeing effective, fair, and proportionate remedies, with clear timescales. Any repairs are followed up by the aftercare team to ensure the works are carried out as promised. Compensation payments are raised by Complaints Officers and the details are added to CRM system.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Complaint Procedures Remedies Guidance	The internal compensation guide is in line with the Housing Ombudsman Remedy

## Section 8: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ol style="list-style-type: none"> <li>the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements;</li> <li>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>any findings of non-compliance with this Code by the Ombudsman;</li> <li>the service improvements made as a result of the learning from complaints;</li> <li>any annual report about the landlord's performance from the Ombudsman; and</li> <li>any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</li> </ol>	Yes	<p>Homes and Places Committee review quarterly complaints performance information on behalf of YHL Board. The report is reviewed with customers and signed off at the Homes and Places Committee annually and at YHL or when there has been a major business change/restructure/change to the Code. The latest review with customers at CVRC, 1 May 2025, reported to Homes and Places Committee 15 May 2025 and shared at YHL Board on 4 June 2025. YH Annual Complaints Performance and Service Report which is fully compliant with the Housing Ombudsman Code Customer Annual Report.</p>	<p>In addition to the annual report, regular complaint performance and learning will be shared through our website via the STAIRS process once this commences. Yorkshire Housing now records the complaints it refused to accept in the new Salesforce Customer Relationship Management platform for easy collation.</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	Homes and Places Committee review quarterly complaints performance information on behalf of YHL Board. The annual report is reviewed by Customer Voice and Review Committee (CVRC) then HPC before the Board.	The report is reviewed with customers and signed off at the Homes and Places Committee annually or when there has been a major business change/re-structure/change to the Code. The latest review with customers on CVRC, 1 May 2025, reported to Homes and Places Committee on 15 May 2025 and shared at Board on 4 June 2025 and will be published on the website thereafter.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	Self-Assessment Date	The self-assessment is reviewed with Homes and Places Committee annually or when there has been a major business change/re-structure/change to the Code. The latest report was reported to Homes and Places Committee 15 May 2025 and shared at Board on 4 June 2025.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	Self-Assessment Date	The self-assessment is reviewed with Homes and Places committee annually or if there has been a request from the Housing Ombudsman following an 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.		This requirement will be complied with in accordance with Yorkshire Housing Business Continuity Policy	We have a business continuity plan in place, and this includes if we ever gave a cyber-attack.

## 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	Complaint Root Cause Analysis	All Heads of Service use data driven complaint root cause analysis (lessons learnt) to form actions to improve services in their areas. There is an Action Tracker in place to monitor actions and improvements to address reoccurring complaint themes.
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	Complaint Root Cause Analysis	There is an Action Tracker in place to monitor service area improvements to address reoccurring complaints Complaint themes are considered at heads of service meetings.
9.3	Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees.	Yes	Complaint Root Cause Analysis Homes and Places Committee Quarterly reporting to Customer Voice and Review Committee Customer Complaints Forum	There is an Action Tracker in place to monitor service area improvements to address reoccurring complaints Complaint themes are considered at heads of service meetings. Learning and improvements are discussed at the CVRC meetings and are informed quarterly The Customer Complaints Forum quarterly checks on our complaint handling and feedback any improvements that may be required.
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	Yorkshire Housing has a Senior Manager whose role it is to carry out these actions. Use RCA to assess themes and trends this is shared with Heads of Service for their action plans.	Centralised team and Senior Manager in place.



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			Regular monitoring of cases to identify themes and reoccurring complaints and will discuss with the Heads of Service to ensure there are improvements made	
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 Member in post	Lisa Bradley is our appointed 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	Homes and Places Committee Quarterly complaints insight report	The MRC is provided with complaint handling reports and associated data, in addition to full access to complaint handling colleagues.
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</li> </ul>	Yes	Homes and Places Committee quarterly complaints insight report includes Ombudsman findings and determinations Complaints Action Plan Annual Report	The MRC is provided with complaint handling reports and associated data including all Ombudsman Determinations.

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	<p>investigations and 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	All Complaint team members have been set relevant performance objectives and are monitored in Connect.	<p>1. Create trust, make it happen. Work effectively to resolve all complaints within specified timescales and to the customers satisfaction.</p> <p>For every complaint listen effectively to the customers to understand what we need to put right and gain absolute clarity on what success would look like for them. Collaborate with relevant colleagues and teams to find the underlying cause of the issues raised, taking full accountability for putting in place the right solutions and making sure those solutions are actioned and fully followed through to completion. Take full ownership of the complaint and communicate with colleagues and the customer throughout the process to keep everyone informed and motivated towards getting the right outcome.</p> <p>Relevant Policy – Complaints and Policy Key Behaviours – Accountability, Empathetic, Effective Listening, Trust, Collaboration, Communication, Can-Do, Problem-Solving, Visible.</p>

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				<p>2. Be curious, achieve impact Learn from the good and what we could do better. Take full ownership of collecting information relating to complaints you are responsible for. What went wrong, what could we have done differently? What could we have done better and crucially, what did we do to resolve the complaint and what do we need to put in place. Root Cause analysis shared across the business Relevant Process – Complaints procedures/processes. Key Behaviours – Accountability, Communication, Effective, Problem-Solving.</p> <p>3. Be curious, make it happen Maintain professional standards Take full responsibility for keeping up to date with the requirements of the Ombudsman's Complaint Handling code and the Regulator of Social Housings Transparency, Influence and Accountability Consumer Standard. Evidence at your regular check-ins how you have maintained your own professional standard against that code/standard with specific reference to how you ensure that all complaints are addressed fairly, effectively, promptly and in collaboration with the customer and the relevant teams/colleagues. Relevant Documents – Complaint Handling Code and The Housing Consumer Standards Key Behaviours – Accountability, Communication, Effective, Can-Do.</p>