

Yorkshire Housing Complaint Handling Code Self-Assessment form March 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.

Date of self-assessment 24th March 2024

Completed with – Interim Director of Customer Experience, Complaints Lead and the Customer Complaints Forum

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 in order 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.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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.
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 and further training provided to all relevant colleagues on this aspect of the code April 2024.
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 (revised March 2024) make it clear how to pursue 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.</p> <p>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 staff, 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"> • Email : customerservices@yorkshirehousing.co.uk • Website : www.yorkshirehousing.co.uk • The Customer portal • Phone: 0345 3664404 • Letter: The Place, 2 Central Place, Leeds, LS10 1FB • Social Media

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				<ul style="list-style-type: none"> • Customer review sites • Face to face to any Yorkshire Housing member of staff • Via a local Councillor or Member of Parliament". <p>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.</p>

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	<ul style="list-style-type: none"> • This is in the Complaints and Feedback Policy.
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"> • 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	Complaints and Feedback Policy.	This is in the Complaints and Feedback Policy.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	<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	Complaints and Feedback Policy	This is in the 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 in the 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 in the 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. Reasonable Adjustments Policy.	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.	This is mandatory training for all Yorkshire Housing colleagues.
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.	The Complaints and Feedback Policy acknowledges the value of complaints and the lessons learnt 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 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	We have this on our website, and we send with the acknowledgment letters a customer version of our Complaints and Feedback Policy.	The link to the Complaints and Feedback Policy is accessible via the website. Complaints and Feedback Policy - revised April 2024.
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 will be published on the Yorkshire Housing website.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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.</p> <p>The Complaints and Feedback Policy states: <i>“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:</i></p> <ul style="list-style-type: none"> • <i>Is unable to complain themselves because of physical incapacity or a lack of capacity within the meaning of the Mental Capacity Act 2005.</i> • <i>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); or</i> • <i>Has passed away.</i> <p>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>Customers can only have 1 representative acting on their behalf per complaint. We will not liaise with multiple representatives.</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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.	Complaints are managed by the specialist team that has benefitted from additional resources. They 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.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	<p>Our complaints procedures were rewritten in January 2024. Complaints handlers 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. The team have access to all systems and have a list of complaint service leads across the business to contact and get information quickly. They have the autonomy to resolve complaints quickly, offering customer focused remedies, including goodwill gestures and compensation. All learning is captured in a learning tracker and Heads of Service take responsibility for delivering the learning.</p>	Complaints are a priority across the business and the team has been resourced sufficiently as of April 2024 to meet demand.

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	Complaints and Feedback Policy
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's 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 doesn't outsource its Complaint Management.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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 doesn't outsource its Complaint Management.
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	Complaints and Feedback Policy Complaints Procedures	The Complaints team sets this out as part of the complaint acknowledgement process and in the acknowledgement letter. Customers are contacted directly 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.
5.8	At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> a. deal with complaints on their merits, act independently, and have an open mind. b. give the resident a fair chance to set out their position. c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully. 	Yes	Complaints and Procedures	All complaints handlers 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 (Reasonable Adjustments) Policy Complaint's procedures	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.
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	Complaints and Feedback Policy Complaints Procedures	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	Complaint timeline on D365 and SharePoint timeline	All details of the complaint and any evidence is saved within the customer record management system. A timeline of the complaint is also created by the Complaints team for all complaints and saved within team shared folders.

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.
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	There is an unreasonable, persistent and vexatious customer section in the Complaints and Feedback Policy. We also 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 of 5.15.

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 Manager through a live performance management dashboard. Complaints performance is reported monthly to the Performance Clinic and 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 <u>within five working days of the complaint being received.</u>	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.
6.3	Landlords must issue a full response to Stage 1 complaints <u>within 10 working days</u> 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.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Complaints and Feedback Policy. Complaints Procedures.	Our policies and procedures meet the requirements of the Code.
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. 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. Complaints Procedures.	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 coordinators 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 letters are proofread, and quality checked.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Complaints and Feedback Policy. Complaints Procedures.	Yorkshire Housing have this requirement set out in its Stage 1 process.
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 why 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.
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 complete segregation of responsibilities at each stage.
6.14	Landlords must issue a final response to the Stage 2 within 20 working days 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.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	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.
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. The relevant Director will also oversee the response to ensure that they are fully aware and take responsibility.

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	Remedies guidance. 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>The Housing Ombudsman Service Remedies Guidance is used by complaints officers to decide the right outcomes.</p> <p>The internal compensation guide has also been developed to align with the remedies guide and gives clear guidance on what must be considered when agreeing compensation, including quantifiable losses and impacts on the customer.</p>
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Remedies guidance. Complaint Procedures. Compensation Policy and internal guide. Complaints and Feedback Policy.	<p>Complaints officers are trained in compensation consideration requirements, including agreeing effective, fair and proportionate remedies, with clear timescales.</p> <p>The Housing Ombudsman Service Remedies Guidance is used by complaints officers to decide the right outcomes.</p> <p>The internal compensation guide has also been developed to align with the remedies guide and gives clear guidance on what must be considered when agreeing compensation, including quantifiable losses and impacts on the customer.</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Complaint Procedures. Remedies Guidance.	The Housing Ombudsman Service Remedies Guidance is used by complaints officers to decide the right outcomes.

Section 8: Putting things right

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: <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 	Yes	Homes and Places Committee review quarterly complaints performance information on behalf of YHL Board. The final quarter of the year includes the consolidated year to date performance. The self-assessment 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 March 2024, reported to Homes and Places Committee 15th April 2024 and shared at YHL Board	In addition to the annual report, regular learning from complaints will be shared through our website from April 2024. Yorkshire Housing did not record the complaints it refused to accept in 2023/2024, however this is now in place for the new code effective 1st April 2024. This is currently a manual process however will be built into the new Salesforce CRM platform for easy collation which is due to be in place from 9th July.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.		29th May 2024. Customer Annual Report.	
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 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 final quarter of the year includes the consolidated year to date performance. This will be presented 29th May 2024.	The self-assessment 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 March 2024, reported to Homes and Places Committee 15th April 2024 and shared at Board 29th May 2024.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	Self-Assessment March 2024.	The self-assessment 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 March 2024, reported to Homes and Places Committee 15th April 2024 and shared at YHL Board 29th May 2024.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	Self-Assessment March 2024.	The self-assessment is reviewed with customers annually or when 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.	Yes	This requirement will be complied with in accordance with Yorkshire Housing Business Continuity Policy.	This requirement will be complied with.

Section 9: Scrutiny and 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	Learning tracker.	A new lessons learned procedure is now in place and forms part of regular reporting from February 2024.
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	Learning tracker.	A new lessons learned procedure is now in place and forms part of regular reporting from March 2024. Complaint themes are considered at head of service meetings from May 2024. The tracker identifying issues and service improvement actions.
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	Learning tracker. Quarterly reporting to Customer Voice and Review Committee.	A new lessons learned procedure is now in place and forms part of regular reporting from February 2024. Complaint themes are considered at head of service meetings from May 2024. Identifying issues and service improvement actions and these will be reported back to stakeholders and published on our website from April 2024.
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 Complaints Specialist (Manager) whose role it is to carry out these actions.	New team and Specialist Lead in place from October 2023.
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 from March 2024.	Complaints Lead - Board Member Profile. Lisa Bradley was appointed as Complaints Lead during the January 2024 appraisal process.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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"> a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance. b. regular reviews of issues and trends arising from complaint handling. c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and d. annual complaints performance and service improvement report. 	Yes	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 and is working with the team to deliver the complaints action plan March / April 2024.
9.8	Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to: <ul style="list-style-type: none"> a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments. b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and 	Yes	All Complaint team members have been set relevant objectives from April 2024 and are monitored in Central.	<ol style="list-style-type: none"> 1. <i>Create trust, make it happen,</i> Work effectively to resolve all complaints within specified timescales and to the customers satisfaction. For each and 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 get to the bottom of the issues raised, taking full accountability for putting in place the right solutions and making sure those solutions are

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	c. act within the professional standards for engaging with complaints as set by any relevant professional body.			<p>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><i>Relevant Policy</i> – Complaints and Policy <i>Key Behaviours</i> – Accountability, Empathetic, Effective Listening, Trust, Collaboration, Communication, Can-Do, Problem-Solving, Visible</p> <p>2. <i>Be curious, achieve impact</i> Learn from the good and the 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. Share the lessons learnt from each and every complaint. Feed changes made as a result of the complaint back to the customer at the close of the process. <i>Relevant Process</i> – Complaints procedures including the central learning tracker. <i>Key Behaviours</i> – Accountability, Communication, Effective, Problem-Solving.</p> <p>3. <i>Be curious, make it happen</i> 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</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				<p>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.</p> <p><i>Relevant Documents</i> – Complaint Handling Code and The Housing Consumer Standards</p> <p><i>Key Behaviours</i> – Accountability, Communication, Effective, Can-Do.</p>