

Appendix A: Self-assessment form

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

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

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

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

Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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		Policy statement, page 1 paragraph 3.
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		Procedure, stage 1, first paragraph. (Added in) Procedure introduction
1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be	Yes		Procedure, stage one

	recorded, monitored and reviewed regularly.			
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		Details within 'Stage one'
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		Where possible any persons being requested a survey or feedback are also informed of how to make a complaint.

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		Policy statement: All complaints viewed constructively.
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		Within Our Approach section

	<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		Procedure.
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		Within Our Approach section
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes		Within Our Approach section

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		<p>Residents can complain to staff who are on site 24 hours a day. There are receptionists at our larger sites. A complaint can be made through the website, using the 'contact us' facility, or the link to complaints form. Residents have a QR code in the welcome packs which links them directly to the complaints form.</p> <p>Residents can call staff on land, mobile phones, text or email.</p> <p>Complaints procedure includes offer of impartial staff support in making a complaint.</p> <p>Accommodation Reasonable Adjustments Policy in place and referred to in linked documents in Complaints policy.</p>

				Staff complete Equality and Inclusion training.
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		Residents can complain to staff who are on site 24 hours a day. There are receptionists at our larger sites. A complaint can be made through the website, using the 'contact us' facility, or the link to complaints form. Residents have a QR code in the welcome packs which links them directly to the complaints form. Residents can call staff on land, mobile phones, text or email.
3.3	High volumes of complaints must not be seen as a negative, as they can be indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.	Yes		Complaints are discussed anonymously monthly at resident's meetings and team meetings, and Quarterly at the QACS meetings.
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	Yes		Accommodation Guide 'How to complain' How to complain posters Translated version of 'How to Complain' Details in Resident's handbook

	must also be published on the landlord's website.			How to complain guide easily accessible on website, QR codes supplied in all welcome packs, and reception areas.
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		Information on notice boards Within Resident's Handbook Informed at monthly resident's meetings Regular reminders logged at support sessions On 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 procedure includes offer of impartial staff support in making a complaint. See section one Accommodation Reasonable Adjustments Policy in place and referred to in linked documents in Complaints policy. Staff complete Equality and Inclusion training.
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		Information on notice boards Within Resident's Handbook Informed at monthly resident's meetings Regular reminders logged at support sessions

				On website Fourth bullet point within stage one of formal complaints procedure. Stated on 'how to complain' guide
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Section 4: Complaint Handling Staff

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
4.1	Landlords must have a person or team assigned to take responsibility for complaint handling, including liaison with the Ombudsman and ensuring complaints are reported to the governing body (or equivalent). This Code will refer to that person or team as the 'complaints officer'. This role may be in addition to other duties.	Yes		All front facing workers have responsibility for complaint handling at stage one.
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		Policy statement regarding dealing with a complain fairly. Section within procedure regarding 'acting sensitively and fairly'. Accommodation staff have equality and inclusion training, work is underpinned by using a trauma informed approach. Complaints are dealt with at stage 1 by a complaints officer
4.3	Landlords are expected to prioritise complaint handling and a culture of learning from complaints. All relevant	Yes		All front facing workers are able to act as a Complaint Officer

	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			Accommodation staff have equality and inclusion training, work is underpinned by using a trauma informed approach.
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Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.	Yes		The complaints policy is available on our website, provided to all residents. All staff trained.
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		Statement within procedure re: resolving the issue as early as possible, as well as liaising with the resident about satisfactory outcomes. Staff are encouraged to involve other departments as needed to carry out urgent actions. Complaints policy has two stages.
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 policy has two stages

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		There is one policy which all staff follow and residents go through.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes		A complaints officer would handle all complaints
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		Templated response letter has sections to complete on these areas. All investigations carried out impartially and with due diligence to establishing the facts surrounding the complaint.
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		See stages one and two
5.8	At each stage of the complaints process, complaint handlers must:	Yes		All staff attend the Quality Assurance training annually.

	<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. 			<p>Template letters used follow the Ombudsman guidance All records are stored on Inform – confidential records. Residents Privacy notice. Complaints are reviewed regularly by managers and reported anonymously to the Head of Accommodation and QACs committee for oversight.</p>
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		Timescales and escalation points included in the procedure.
5.10	Landlords must make reasonable adjustments for residents where appropriate under the Equality Act 2010. Landlords must keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review.	Yes		<p>Reasonable Adjustments Policy in place and referred to in linked documents in Complaints policy. Staff complete Equality and Inclusion training. All complaints records stored securely on In-Form</p>
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	Yes		See Exclusions section

	must comply with the provisions set out in section 2 of this 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		All listed information is recorded on In-Form and reported quarterly to QAC and managers meetings.
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		See stages one and Two
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		Behaviour policies and Visitors Policy are in place and applicable to residents and their Representatives in all circumstances. Code of Professional Conduct in place for staff.
5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard	Yes		YMCA Trinity Group adopts a Trauma Informed Care approach.

	for the provisions of the Equality Act 2010.			Behaviour Policy details YMCA Trinity Group's approach to behaviour management and consequences of unacceptable behaviour. Reasonable Adjustment policy in place. All staff trained in equality, diversity and inclusion.
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Section 6: Complaints Stages

Stage 1

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.1	Landlords must have processes in place to consider which complaints can be responded to as early as possible, and which require further investigation. Landlords must consider factors such as the complexity of the complaint and whether the resident is vulnerable or at risk. Most stage 1 complaints can be resolved promptly, and an explanation, apology or resolution provided to the resident.	Yes		Procedure. Stage One

6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <u>within five working days of the complaint being received</u> .	Yes		Procedure. Stage One
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes		Procedure. Stage One
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		Procedure. Stage One
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		Template letters used state this.
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		Procedure. Evidence of responses and tracked actions on Inform.

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		Procedure & template letter. Evidence of responses and tracked actions on Inform
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		Procedure, stages one and two.
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <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 stage 2 if the individual is not satisfied with the response. 	Yes		Procedure. Template complaint final response letter prompts to address all of these points

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		Exclusions section Procedure. Two stage process only. Template letters clearly define outcome reasons and right to approach the Ombudsman. Resident's regularly reminded about the ability to contact the Housing Ombudsman.
6.11	Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaints procedure within five working days of the escalation request being received.	Yes		Procedure. Stage Two.
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		Procedure. Stage Two.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes		Escalates to an appropriate Manager

6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes		Procedure stage two.
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		Procedure stage two.
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		Template letters clearly define outcome reasons and right to approach the Ombudsman. Resident's regularly reminded about the ability to contact the Housing Ombudsman.
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		Procedure. Evidence of responses and tracked actions on Inform.
6.18	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions,	Yes		Procedure & template letter. Evidence of responses and tracked actions on Inform

	referencing the relevant policy, law and good practice where appropriate.			
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: <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		Procedure. Template complaint final response letter prompts to address all of these points
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes		Procedure.

Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or	Yes		Policy statement and organisational approach, paragraph one Resolving Complaints

	<p>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. 			
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes		Resolving Complaints
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		Resolving Complaints
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes		Resolving Complaints

Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord. 	Yes		<p>The Head of Accommodation is responsible for completing all reports related to the monitoring, review, performance and compliance of all complaints against the complaints handling, and providing this to the QAC committee. The QAC Committee have lead responsibility for ensuring compliance with the complaint handling code. Quarterly QAC report Minutes of QACS meetings are circulated to all trustees. The Chair of QACS provides feedback to the Board on key issues from the last meeting including complaints whenever appropriate. The Complaints Self-assessment and Performance and Improvement Report are</p>

				completed annually and published on our website, as well as the governing bodies response to the self-assessment.
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		The annual complaints performance and service improvement report, and the governing bodies response to the self-assessment are completed annually and published on our website and reported to the QACS committee.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes		When applicable, this would be completed and logged.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes		When applicable, this would be completed and logged.
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		When applicable, this would be completed and logged.

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		Complaints are discussed anonymously monthly at resident's meetings.
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		Our Values and Behaviours encourage collective responsibility and a collaborative approach to continual improvement.
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		Complaints are discussed anonymously monthly at resident's meetings.
9.4	Landlords must appoint a suitably senior lead person as accountable for their complaint handling. This person must assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.	Yes		The Head of Accommodation is responsible for completing all reports related to the monitoring, review, performance and compliance of all complaints against the complaints handling code. This

			<p>information is reviewed each quarter at the Quality Assurance and Client Services Committee (QACS) which has oversight of all quality and assurance matters.</p> <p>The QACS Committee have lead responsibility for ensuring compliance with the complaint handling code. The QACS committee receives a quarterly report to monitor performance and trends in complaints. The committee receives an annual complaints performance and improvement report.</p> <p>As a supported housing provider subject to Ofsted supported housing requirements there is an annual inspection across all accommodation sites which includes talking to managers, staff, residents and external stakeholders. This includes complaints and assessment against the</p>
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				property standards. Each setting received a report based on the inspection and an action plan for improvement. This is monitored each quarter and is led by the Head of Accommodation.
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		The Chair of our board of trustees 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		The Chair of trustees ensures complaints monitoring, performance takes place at the QACS committee. A variety of staff roles report and attend the committee ensuring there is appropriate access to staff. For example, the Head of Accommodation who leads on complaints monitoring reports to the Chief Operating Officer and both positions attend the QACS committee.

				Trustees on the QACS committee ensure they attend our services speaking to local managers, staff teams and service users. Also, our website includes a direct email address to the Chair to ensure there is opportunity to raise complaints directly.
9.7	<p>As a minimum, the MRC and the governing body (or equivalent) must receive:</p> <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		The MRC received this information in preparation for the quarterly QACS meetings.
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:	Yes		See Additional information section. YMCA Trinity Group uses co-production when engaging with residents and

	<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>			<p>in developing ways of working. Our Values and Behaviours encourage collective responsibility and a collaborative approach to continual improvement.</p>
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