

## Appendix B – Self-Assessment Form

This self-assessment form should be completed by the complaints officer and discussed at the landlord’s governing body annually.

Evidence should be included to support all statements with additional commentary as necessary.

Explanations must also be provided where a mandatory ‘must’ requirement is not met to set out the rationale for the alternative approach adopted and why this delivers a better outcome.

### Section 1 - Definition of a complaint Mandatory

#### ‘must’ requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
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 organisation, its own staff, or those acting on its behalf, affecting an individual resident or group of residents.</i>	Yes	Resolving Complaints Policy - 4.0 What is a complaint?
1.3	The resident does not have to use the word ‘complaint’ for it to be treated as such. A complaint that is submitted via a third party or representative must still be handled in line with the landlord’s complaints policy.	Yes	Resolving Complaints Policy 7.0 How to make a complaint, of has been updated to be more specific on these points
1.6	... if further enquiries are needed to resolve the matter, or if the resident requests it, the issue must be logged as a complaint.	Yes	Section 5.0 What is not a complaint has been updated to ensure clarity on this point.
1.7	A landlord must accept a complaint unless there is a valid reason not to do so.	Yes	Resolving Complaints Policy 5.0 lists what is not a complaint. This has been updated to include legal proceedings or other claim has started.

1.8	A complaints policy must clearly set out the circumstances in which a matter will not be considered, and these circumstances should be fair and reasonable to residents.	Yes	Resolving Complaints Policy 5.0 lists what is not a complaint. This has been updated to include legal proceedings or other claim has started.
1.9	If a landlord decides not to accept a complaint, a detailed 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.	Yes	Resolving Complaints Policy 5.0 What is not a complaint has been updated to clarify this point.

#### Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
1.4	Landlords should recognise the difference between a <b>service request</b> , where a resident may be unhappy with a <b>situation</b> that they wish to have rectified, and a <b>complaint</b> about the <b>service</b> they have/have not received.	Yes	Resolving Complaints Policy 5.0 What is not a complaint
1.5	Survey feedback may not necessarily need to be treated as a complaint, though, where possible, the person completing the survey should be made aware of how they can pursue their dissatisfaction as a complaint if they wish to.	Yes	"Hot alerts" are generated for all low satisfaction surveys completed. The relevant manager will escalate to complaint as appropriate, following discussion with the customer.

## Section 2 - Accessibility and awareness

### Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
2.1	Landlords must make it easy for residents to complain by providing different channels through which residents can make a complaint such as in person, over the telephone, in writing, by email and digitally. While the Ombudsman recognises that it may not be feasible for a landlord to use all of the potential channels, there must be more than one route of access into the complaints system.	Yes	<p>We welcome feedback in a variety of ways directing contact to our Customer Services Team via following routes:</p> <ul style="list-style-type: none"> <li>• By email to <a href="mailto:info@lyha.co.uk">info@lyha.co.uk</a> or another LYHA email address</li> <li>• In person face to face with a colleague or by telephoning 0113 278 3335</li> <li>• Social media: via a direct message on Facebook @LeedsYorkshireHA / Twitter @LYHAtweets. Please don't post on the page as we cannot discuss individual matters on an open, public forum</li> <li>• Via the form on our website - <a href="http://www.lyha.co.uk">www.lyha.co.uk</a>, in the "Make a Complaint" section</li> <li>• In writing to LYHA at 3<sup>rd</sup> Floor, White Rose House, 8 Otley Road, Leeds, LS6 2AD</li> </ul>
2.3	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the number of stages involved, what will happen at each stage and the timeframes for responding.	Yes	<p>We have a dedicated complaints page on our website which includes a copy of the policy. <a href="http://www.lyha.co.uk/make-a-complaint">Make a complaint   Leeds and Yorkshire Housing Association (lyha.co.uk)</a></p>
2.4	Landlord websites, if they exist, must include information on how to raise a complaint. The complaints policy and process must be easy to find on the website.	Yes	<p>We have a dedicated complaints page on our website which includes a copy of the policy. <a href="http://www.lyha.co.uk/make-a-complaint">Make a complaint   Leeds and Yorkshire Housing Association (lyha.co.uk)</a> This page on the website can be found by typing the word "Complaint" into the search.</p>

2.5	Landlords must comply with the Equality Act 2010 and may need to adapt normal policies, procedures, or processes to accommodate an individual's needs. Landlords must satisfy themselves that their policy sets out how they will respond to reasonable adjustments requests in line with the Equality Act and that complaints handlers have had appropriate training to deal with such requests.	Yes	Reference to reasonable adjustments is included in <b>Section 16.0 Equality &amp; Diversity</b> section of Resolving Complaints policy.
2.6	Landlords must publicise the complaints policy and process, the Complaint Handling Code and the Housing Ombudsman Scheme in leaflets, posters, newsletters, online and as part of regular correspondence with residents.	Yes	Website includes Policy and Self-Assessment against Complaint Handling Code. Annual Report to customers has a section on complaints.

2.7	Landlords must provide residents with contact information for the Ombudsman as part of its regular correspondence with residents.	No	We will carry out a review of all standard complaints letters and include contact information for the Ombudsman  We will conduct a briefing for all colleagues who are responsible for responding to complaints.
2.8	Landlords must provide early advice to residents regarding their right to access the Housing Ombudsman Service throughout their complaint, not only when the landlord's complaints process is exhausted.	No	We will carry out a review of all standard complaints letters and include contact information for the Ombudsman

### Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
2.2	Where a landlord has set up channels to communicate with its residents via social media, then it should expect to receive complaints via those channels. Policies should contain details of the steps that will be taken when a complaint is received via social media and how confidentiality and privacy will be maintained.	Yes	<b>7.0 How to make a complaint</b> Section 7.0 How to make a complaint states: <ul style="list-style-type: none"> <li>• Social media: via a direct message on Facebook @LeedsYorkshireHA / Twitter <a href="#">@LYHAtweets</a>. <b>Please don't post on the page as we cannot discuss individual matters on an open, public forum</b></li> </ul>

### Mandatory 'must' requirements

<b>Code section</b>	<b>Code requirement</b>	<b>Comply: Yes/No</b>	<b>Evidence, commentary and any explanations</b>
<b>3.1</b>	Landlords must have a person or team assigned to take responsibility for complaint handling to ensure complaints receive the necessary attention, and that these are reported to the governing body. This Code will refer to that person or team as the "complaints officer".	<b>Yes</b>	Complaints form part of the role responsibilities for the Customer Services Team Leader and Neighbourhood Services Manager who lead.
<b>3.2</b>	...the complaint handler appointed must have appropriate complaint handling skills and no conflicts of interest.	<b>Yes</b>	Officers responsible for complaint handling have appropriate skills and access to advice & support

### Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
3.3	<p>Complaint handlers should:</p> <ul style="list-style-type: none"> <li>• be able to act sensitively and fairly</li> <li>• be trained to handle complaints and deal with distressed and upset residents</li> <li>• have access to staff at all levels to facilitate quick resolution of complaints</li> <li>• have the authority and autonomy to act to resolve disputes quickly and fairly.</li> </ul>	Yes	<p>Everyone in business received Customer Services Training in 2019. Periodic training will be provided for colleagues responsible for complaints handling. Briefing session will be provided on Complaints Handling Code. Complaints handling and the skills required to successfully resolve complaints will be included in modular training plans.</p>

### Section 4 - Complaint handling principles

#### Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
4.1	<p>Any decision to try and resolve a concern must be taken in agreement with the resident and a landlord's audit trail/records should be able to demonstrate this. Landlords must ensure that efforts to resolve a resident's concerns do not obstruct access to the complaints procedure or result in any unreasonable delay. It is not appropriate to have extra named stages (such as 'stage 0' or 'pre-complaint stage') as this causes unnecessary confusion for residents. When a complaint is made, it must be acknowledged and logged at stage one of the complaints procedure <b>within five days of receipt.</b></p>	Yes	<p>All attempts to try and resolve concerns will involve conversations with residents. This is done within the complaints policy and will not delay application of the policy</p>

4.2	Within the complaint acknowledgement, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. If any aspect of the complaint is unclear, the resident must be asked for clarification and the full definition agreed between both parties.	<b>Yes</b>	All standard complaints letters will be reviewed to ensure compliance with all aspects of this code.
4.6	A complaint investigation must be conducted in an impartial manner.	<b>Yes</b>	Resolving Complaints Policy 9.0 The Resolving Complaints Process has been updated to specifically state that All complaints will be investigated in an impartial manner, and wherever possible, will be investigated by a complaint manager who is not directly involved in the complaint
4.7	The complaint handler must: <ul style="list-style-type: none"> <li>• deal with complaints on their merits</li> <li>• act independently and have an open mind</li> <li>• take measures to address any actual or perceived conflict of interest</li> <li>• consider all information and evidence carefully</li> <li>• keep the complaint confidential as far as possible, with information only disclosed if necessary to properly investigate the matter.</li> </ul>	<b>Yes</b>	For clarity, these specific points have been added to Resolving Complaints Policy 9.0 The Resolving Complaints Process
4.11	Landlords must adhere to any reasonable arrangements agreed with residents in terms of frequency and method of communication	<b>Yes</b>	Included in Resolving Complaints Policy 9.0 The Resolving Complaints Process
4.12	The resident, and if applicable any staff member who is the subject of the complaint, must also be given a fair chance to: <ul style="list-style-type: none"> <li>• set out their position</li> <li>• comment on any adverse findings before a final decision is made.</li> </ul>	<b>Yes</b>	This will be included in Briefing for complaint managers
4.13	A landlord must include in its complaints policy its timescales for a resident to request escalation of a complaint	<b>Yes</b>	Complaints Policy States: "If the customer does not contact us within 10 working days of our response, and all issues have been addressed and outstanding actions completed, the complaint will be closed.



4.14	A landlord must not unreasonably refuse to escalate a complaint through all stages of the complaints	<b>Yes</b>	Section 9.0 of the policy updated.
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	procedure and must have clear and valid reasons for taking that course of action. Reasons for declining to escalate a complaint must be clearly set out in a landlord's complaints policy and must be the same as the reasons for not accepting a complaint.		we have added reasons why a Complaint would not be escalated, and that we will provide details of the Ombudsman Service.
<b>4.15</b>	A full record must be kept of the complaint, any review 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 reports or surveys prepared.	<b>Yes</b>	We have a dedicated complaints database for recording of complaints. Our CRM is updated with all customer contacts including complaints and responses are saved within customer e-house files.
<b>4.18</b>	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives when pursuing a complaint.	<b>Yes</b>	Policy: Section14.0 Unreasonable Behaviour

#### Best practice 'should' requirements

<b>Code section</b>	<b>Code requirement</b>	<b>Comply: Yes/No</b>	<b>Evidence, commentary and any explanations</b>
<b>4.3</b>	Landlords should manage residents' expectations from the outset, being clear where a desired outcome is unreasonable or unrealistic	<b>Yes</b>	This will be included in refresher briefing / training for colleagues with responsibility for Complaint resolution.
<b>4.4</b>	A complaint should be resolved at the earliest possible opportunity, having assessed what evidence is needed to fully consider the issues, what outcome would resolve the matter for the resident and whether there are any urgent actions required.	<b>Yes</b>	Timescales are included in policy. Our Timescales are tighter than Complaints Handling Code - 5 days compared to recommended 10 days, to ensure speedy resolution wherever possible
<b>4.5</b>	Landlords should 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 where this is reasonable.	<b>Yes</b>	<b>8.0 How to make a complaint</b> Refers to: Customers or their representative / advocate
<b>4.8</b>	Where a key issue of a complaint relates to the parties' legal obligations landlords should clearly set out their understanding of the obligations of both parties.	<b>Yes</b>	This will be included in refresher briefing / training for colleagues with responsibility for complaint resolution.



4.9	Communication with the resident should not generally identify individual members of staff or contractors.	Yes	This will be included in refresher briefing / training for colleagues with responsibility for complaint resolution.
4.10	Landlords should keep residents regularly updated about the progress of the investigation.	Yes	Our policy provides a commitment that we will keep customers up to date throughout our review of their complaint.
4.16	Landlords should seek feedback from residents in relation to the landlord's complaint handling as part of the drive to encourage a positive complaint and learning culture.	Yes	All complainants are asked to complete a satisfaction survey after the closure of their complaint. The results of these surveys are reported to Customer Experience Committee as part of the Quarterly Complaints Report.
4.17	Landlords should recognise the impact that being complained about can have on future service delivery. Landlords should ensure that staff are supported and engaged in the complaints process, including the learning that can be gained	Yes	Outcome of complaints are discussed with colleagues involved and they are included in the development of learning and service improvements.
4.19	Any restrictions placed on a resident's contact due to unacceptable behaviour should be appropriate to their needs and should demonstrate regard for the provisions of the Equality Act 2010.	Yes	Decisions to restrict access are not taken lightly and will only be made when all factors have been taken into consideration.

## Section 5 - Complaint stages

### Mandatory 'must' requirements Stage 1

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.1	Landlords must respond to the complaint <b><u>within 10 working days</u></b> of the complaint being logged. Exceptionally, landlords may provide an explanation to the resident containing a clear timeframe for when the response will be received. This should not exceed a further 10 days without good reason.	Yes	Policy states that we will acknowledge within 2 working days and provide a full response within a further 5 working days.
5.5	A complaint response must be sent 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 expeditiously with regular updates provided to the resident.	Yes	Responses will always be sent as soon as the answer is known / has been agreed with the customer. Follow on actions are tracked by responsible officer

<b>5.6</b>	Landlords must address all points raised in the complaint and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	<b>Yes</b>	Complaint responses are monitored to ensure that all elements of the complaint have been addressed
<b>5.8</b>	Landlords must confirm the following in writing to the resident at the completion of stage one in clear, plain language: <ul style="list-style-type: none"> <li>• the complaint stage</li> <li>• the decision on the complaint</li> <li>• the reasons for any decisions made</li> <li>• the details of any remedy offered to put things right</li> <li>• details of any outstanding actions</li> <li>• details of how to escalate the matter to stage two if the resident is not satisfied with the answer</li> </ul>	<b>Yes</b>	Complaint responses include all elements listed, and we aim to write in clear, plain English

## Stage 2

<b>Code section</b>	<b>Code requirement</b>	<b>Comply: Yes/No</b>	<b>Evidence, commentary and any explanations</b>
<b>5.9</b>	If all or part of the complaint is not resolved to the resident's satisfaction at stage one it must be progressed to stage two of the landlord's procedure, unless an exclusion ground now applies. In instances where a landlord declines to escalate a complaint it must clearly communicate in writing its reasons for not escalating as well as the resident's right to approach the Ombudsman about its decision.	<b>Yes</b>	Policy updated to reflect this specific wording
<b>5.10</b>	On receipt of the escalation request, landlords must set out their understanding of issues outstanding and the outcomes the resident is seeking. If any aspect of the complaint is unclear, the resident must be asked for clarification and the full definition agreed between both parties.	<b>Yes</b>	If there is any lack of clarity over the issue or the outcome that the resident is seeking, we will clarify. Policy updated
<b>5.11</b>	Landlords must only escalate a complaint to stage two once it has completed stage one and at the request of the resident.	<b>Yes</b>	We would not escalate a complaint to stage 2 until stage 1 had been concluded and the complainant has requested an escalation.

5.12	The person considering the complaint at stage two, must not be the same person that considered the complaint at stage one.	Yes	Stage 2 Complaints will be reviewed by a Complaint Review Panel, which will not include those who have reviewed the Stage 1 complaint
5.13	Landlords must respond to the stage two complaint <b>within 20 working days</b> of the complaint being escalated. Exceptionally, landlords may provide an explanation to the resident containing a clear timeframe for when the response will be received. This should not exceed a further 10 days without good reason.	No	Policy has been updated to reflect HOS Complaints Handling Code of 20 working days for Stage 2 Complaints
5.16	Landlords must confirm the following in writing to the resident at the completion of stage two in clear, plain language: <ul style="list-style-type: none"> <li>• the complaint stage</li> <li>• the complaint definition</li> <li>• the decision on the complaint</li> <li>• the reasons for any decisions made</li> <li>• the details of any remedy offered to put things right</li> <li>• details of any outstanding actions</li> </ul> <b>and</b> <ul style="list-style-type: none"> <li>• if the landlord has a third stage, details of how to escalate the matter to stage three</li> <li>• if this was the final stage, details of how to escalate the matter to the Housing Ombudsman Service if the resident remains dissatisfied.</li> </ul>	Yes	Stage 2 responses will include all specified details. <ul style="list-style-type: none"> <li>• We operate a 2 Stage Complaints Policy</li> <li>• Stage 2 responses will include details of how to escalate to the Ombudsman</li> <li>• All Standard Complaints Letters will be reviewed against HOS Complaints Handling Code.</li> </ul>

### Stage 3

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.17	Two stage landlord complaint procedures are ideal. This ensures that the complaint process is not unduly long. If landlords strongly believe a third stage is necessary, they must set out their reasons for this as part of their self-assessment. A process with more than three stages is not acceptable under any circumstances.	Yes	We have adopted a two-stage policy.

5.20	<p>Landlords must confirm the following in writing to the resident at the completion of stage three in clear, plain language:</p> <ul style="list-style-type: none"> <li>• the complaint stage</li> <li>• the complaint definition</li> <li>• the decision on the complaint</li> <li>• the reasons for any decisions made</li> <li>• the details of any remedy offered to put things right</li> <li>• details of any outstanding actions</li> <li>• details of how to escalate the matter to the Housing Ombudsman Service if the resident remains dissatisfied</li> </ul>	N/A	We do not have a Stage 3
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### Best practice 'should' requirements

#### Stage 1

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
5.2	If an extension beyond 20 working days is required to enable the landlord to respond to the complaint fully, this should be agreed by both parties.	Yes	Our Policy is for response within 5 Working days and states: If a review cannot be completed within 5 working days, the complaint manager will contact the customer, feedback on progress and agree a revised response timeframe.
5.3	Where agreement over an extension period cannot be reached, landlords should provide the Housing Ombudsman's contact details so the resident can challenge the landlord's plan for responding and/or the proposed timeliness of a landlord's response.	No	This is not included in our Policy
5.4	Where the problem is a recurring issue, the landlord should consider any older reports as part of the background to the complaint if this will help to resolve the issue for the resident.	Yes	We will consider all previous reports and additional background information when investigating a complaint.
5.7	Where residents raise additional complaints during the investigation, these should be incorporated into the stage one response if they are relevant and the stage one response has not been issued. Where the stage one response has been issued, or it would unreasonably delay the response, the complaint should be logged as a new complaint.	Yes	Additional complaints will be included in the stage 1 response where they are linked to the initial complaint, and they will not delay the response timeline. If the complaint is about an unrelated matter or would delay the response it will be recorded as a separate complaint in agreement with the complainant.

**Stage 2**

<b>Code section</b>	<b>Code requirement</b>	<b>Comply: Yes/No</b>	<b>Evidence, commentary and any explanations</b>
<b>5.14</b>	If an extension beyond 10 working days is required to enable the landlord to respond to the complaint fully, this should be agreed by both parties.	<b>No</b>	Policy to be updated to include this
<b>5.15</b>	Where agreement over an extension period cannot be reached, landlords should provide the Housing Ombudsman's contact details so the resident can challenge the landlord's plan for responding and/or the proposed timeliness of a landlord's response	<b>Yes</b>	If agreement cannot be reached, the complainant will be advised that they can escalate to the Ombudsman.

**Stage 3**

<b>Code section</b>	<b>Code requirement</b>	<b>Comply: Yes/No</b>	<b>Evidence, commentary and any explanations</b>
<b>5.18</b>	Complaints should only go to a third stage if the resident has actively requested a third stage review of their complaint. Where a third stage is in place and has been requested, landlords must respond to the stage three complaint <b><u>within 20 working days</u></b> of the complaint being escalated. Additional time will only be justified if related to convening a panel. An explanation and a date for when the stage three response will be received should be provided to the resident.	N/A	We do not have a Stage 3
<b>5.19</b>	Where agreement over an extension period cannot be reached, landlords should provide the Housing Ombudsman's contact details so the resident can challenge the landlord's plan for responding and/or the proposed timeliness of a landlord's response.	N/A	We do not have a Stage 3



## Section 6 - Putting things right

### Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
6.1	Effective dispute resolution requires a process designed to resolve complaints. 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.	Yes	This is included in the Introduction (Section 1.0) of our Resolving Complaints Policy
6.2	Any remedy offered must reflect the extent of any service failures and the level of detriment caused to the resident as a result. A landlord must carefully manage the expectations of residents and not promise anything that cannot be delivered or would cause unfairness to other residents.	Yes	Our approach to complaint resolution is based on remedying service failures as quickly as possible and where appropriate learning to improve services. Where compensation is appropriate, it will be paid under LYHA's Service Recovery and Compensation Policy
6.5	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	The basis for resolving the complaint will be detailed in the response (Stage1 or 2) and the complaint manager providing the response will monitor to completion.
6.6	In awarding compensation, a landlord must consider whether any statutory payments are due, if any quantifiable losses have been incurred, the time and trouble a resident has been put to as well as any distress and inconvenience caused.	Yes	Any Compensation will be paid under LYHA's Service Recovery and Compensation Policy

### Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
6.3	Landlords should look beyond the circumstances of the individual complaint and consider whether anything needs to be 'put right' in terms of process or systems to the benefit of all residents.	Yes	A key component of our approach to complaint resolution is to ensure that we learn from complaints and view in the context of our wider policy and procedure framework.
6.7	In some cases, a resident may have a legal entitlement to redress. The landlord should still offer a resolution where possible, obtaining legal advice as to how any offer of resolution should be worded.	Yes	This will be included in briefing for complaint managers

## Section 7 - Continuous learning and improvement

### Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
7.2	Accountability and transparency are integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints in their annual report and more frequently to their residents, staff and scrutiny panels.	Yes	We hold a "Lessons Learned" meeting Monthly with relevant managers. Complaints performance including lessons learned is reported to LYHA Customer Experience Committee and included in the Annual Report to Customers

### Best practice 'should' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
7.3	A member of the governing body should be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This role will be responsible for ensuring the governing body receives regular information on complaints that provides insight to the governing body on the landlord's complaint handling performance.	No	This is not currently in place, but the report to Customer Experience Committee – July 2022 will recommend such an appointment.
7.4	As a minimum, governing bodies should receive: <ul style="list-style-type: none"> <li>Regular updates on the volume, categories and outcome of complaints, alongside complaint handling performance including compliance with the Ombudsman's orders</li> <li>Regular reviews of issues and trends arising from complaint handling,</li> <li>The annual performance report produced by the Ombudsman, where applicable</li> <li>Individual complaint outcomes where necessary, including where the Ombudsman made findings of severe maladministration or referrals to regulatory bodies. The implementation of management responses should be tracked to ensure they are delivered to agreed timescales. The annual self-assessment against the Complaint Handling Code for scrutiny and challenge.</li> </ul>	Yes	A comprehensive quarterly Complaints report is presented to the Executive Management Team and the Customer Experience Committee. This reporting covers the areas recommended in the Complaints Handling Code.

7.5	Any themes or trends should be assessed by senior management to identify potential systemic issues, serious risks or policies and procedures that require revision. They should also be used to inform staff and contractor training.	<b>Yes</b>	We hold a "Lessons Learned" meeting Monthly with relevant managers. These are the vehicle for the identification of systemic issues, serious risks or policies and procedures that require revision, and to inform staff and contractor training.
7.6	Landlords should have a standard objective in relation to complaint handling for all employees that reflects the need to: <ul style="list-style-type: none"> <li>• have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments</li> <li>• take collective responsibility for any shortfalls identified through complaints rather than blaming others</li> <li>• act within the Professional Standards for engaging with complaints as set by the Chartered Institute of Housing.</li> </ul>	<b>No</b>	We have chosen not include this specific recommendation, but LYHA reference values and behaviours which are built into appraisals and are consistent with our commitment to minimising, resolving and learning from complaints

## Section 8 - Self-assessment and compliance

### Mandatory 'must' requirements

Code section	Code requirement	Comply: Yes/No	Evidence, commentary and any explanations
8.1	Landlords must carry out an annual self-assessment against the Code to ensure their complaint handling remains in line with its requirements.	<b>Yes</b>	Self-Assessment was completed in February 2022 and is being repeated in June 22 in response to the revised Complaints handling Code, published by the Ombudsman in March 22, and will be repeated on an annual basis.
8.2	Landlords must also carry out a self-assessment following a significant restructure and/or change in procedures.	<b>Yes</b>	This is likely to be captured in annual self-assessment but if changes are significant this can be brought forward.
8.3	Following each self-assessment, a landlord must: <ul style="list-style-type: none"> <li>• report the outcome of their self-assessment to their governing body. In the case of local authorities, self-assessment outcomes should be reported to elected members</li> <li>• publish the outcome of their assessment on their website if they have one, or otherwise make accessible to residents</li> <li>• include the self-assessment in their annual report section on complaints handling performance</li> </ul>	<b>Yes</b>	Next quarterly report to EMT & Customer Experience Committee will include this self-assessment and the self-assessment on LYHA website will be updated, as well as a link to self-assessment.in the Annual Report to customers.