

Housing Ombudsman Service – complaint handling code – self assessment 2024

This self-assessment form should be completed by the Corporate Governance Teams using the HOS online completion submission on 30 July 2024 and published on the council's website in September 2024. It will be reviewed at least annually or sooner if required or appropriate to.

The last review and update was completed in December 2024.

Link to Annual Complaints Performance and Service Improvement Report from landlord's website.

<https://www.york.gov.uk/contact-us/raise-comment-compliment-complaint-concern/4#complaintsreport>

Link to landlord's governing body's response to the self-assessment from landlord's website.

<https://www.york.gov.uk/contact-us/housing-ombudsman-self-assessment>

Link to the landlord's complaints policy from landlord's website.

<https://www.york.gov.uk/4Cs>

Has the Complaint Handling Code 2024 and the self-assessment process helped your organisation to promote a positive complaint handling culture?

Yes

Please share any learning or changes you have made to promote a positive complaint handling culture.

By implementing the requirements from the complaint handling code, it has provided additional insight into our complaints handling activities which in turn allows more scope and opportunities to improve our services and get it right first time for our tenants.

Has the Complaint Handling Code 2024 helped your organisation to promote fairness through consistency in complaint handling?

Yes

By implementing the requirements from the complaint handling code, it has provided additional insight into the fairness of our consistency in complaints handling activities which in turn allows more scope and opportunities to improve our services and get it right first time for our tenants.

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Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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>	Y	Included in 4Cs and is published on council website. This includes the updated Housing Ombudsman Service timescales and stages	https://www.york.gov.uk/4Cs https://www.york.gov.uk/download/s/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure
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.	Y	Included in 4Cs and is published on council website.	https://www.york.gov.uk/4Cs https://www.york.gov.uk/download/s/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/download/s/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/download/s/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Details about how to make a complaint are set out in Housing Services correspondence. This may include links to the 4Cs published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this requirement.</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases.</p>	Forward work plan includes to consider where it is appropriate to include this in other council services correspondence

Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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> <p>The issue giving rise to the complaint occurred over twelve months ago.</p> <p>Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court.</p> <p>Matters that have previously been considered under the complaints policy.</p>	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Section 3: Accessibility and Awareness

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p> <p>Forward work plan to: Include in the council's processes for equalities impact assessments, Review/update online form, Review/update internal guidance on intranet.</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p> <p>Included where appropriate in performance reports to Corporate Management Team, Scrutiny Committee and Audit and Governance Committee</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p> <p>https://www.york.gov.uk/contact-us/raise-comment-compliment-complaint-concern/4#complaintsreport</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website which meets the website accessibility requirements.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p> <p>Forward work plan includes work with the council's communications team; housing and communities and inclusion teams to continually review the accessibility format</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
3.5	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p> <p>Included where appropriate in performance reports to Corporate Management Team, Scrutiny Committee and Audit and Governance Committee</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Included in acknowledgements</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Included in acknowledgements and responses</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Section 4: Complaint Handling Staff

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	This is the corporate governance team and is included in job descriptions	

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>The corporate governance team including all complaints advisers, have access to all levels of staff to ensure the prompt resolution of complaints. They also have the authority and autonomy to resolve disputes promptly and fairly.</p> <p>This is included in job descriptions.</p> <p>Included where appropriate in performance reports to Corporate Management Team, Scrutiny Committee and Audit and Governance Committee</p>	

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Included where appropriate in performance reports to Corporate Management Team, Scrutiny Committee and Audit and Governance Committee</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p> <p>https://www.york.gov.uk/contact-us/raise-comment-compliment-complaint-concern/4#complaintsreport</p>

Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Ensuring “standard” complaint clauses are in third party provider contracts and ongoing contract management</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Correspondence with complainants includes setting out understanding of their points of complaint and outcomes wanted. Where necessary, this will include clarifying any point(s) with the complainant</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Correspondence with complainants at either or both stages, sets out what parts of complaint we are responsible for and those that we are not</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
5.8	<p>At each stage of the complaints process, complaint handlers must:</p> <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. 	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p> <p>Forward work plan includes a review of training content and system/case management prompts</p>

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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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Review(s) of individual(s) requirements are done each case raised and communicated to them through acknowledgements, updates, and responses</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p> <p>Forward work plan includes review of system/case management</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Communicated to complainants through acknowledgements, updates, and responses</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Full records for each case are held in the corporate governance team case management system</p> <p>Each record type is only kept for the appropriate retention period</p> <p>Reports are also available and held in the council's "key performance indicator" system and where appropriate to, stored in the council's secure network</p>	

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman’s remedy guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p> <p>Current consultation on a council wide managing unreasonable contacts/behaviours policy following approval by Corporate Management Team</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p> <p>Current consultation on a council wide managing unreasonable contacts/behaviours policy following approval by Corporate Management Team</p>

Section 6: Complaints Stages

Stage 1

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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>	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman’s guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p> <p>Forward work plan includes review of current performance data where at risk of going out of time for resolution and responses. This includes case management configuration prompts</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Included where required and appropriate in correspondence and updates to resident</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included where required and appropriate in correspondence and updates to resident</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p>	Forward work plan includes review of case management system prompts and configuration

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
6.9	<p>Landlords must confirm the following in writing to the resident at the completion of stage 1 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 stage 2 if the individual is not satisfied with the response. 	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Stage 2

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman’s guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p> <p>Forward work plan includes review of case management system prompts and configuration</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p> <p>Forward work plan includes review of case management system prompts and configuration</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p> <p>Forward work plan includes review of case management system prompts and configuration</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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. 	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman’s guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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. 	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman’s guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>

Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <p>a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.</p> <p>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.</p> <p>c. any findings of non-compliance with this Code by the Ombudsman.</p> <p>d. the service improvements made as a result of the learning from complaints.</p>	Y	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p> <p>https://www.york.gov.uk/contact-us/raise-comment-compliment-complaint-concern/4#complaintsreport</p> <p>https://democracy.york.gov.uk/ieListDocuments.aspx?CId=1064&MId=14676</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
	<p>e. any annual report about the landlord's performance from the Ombudsman; and</p> <p>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</p>		<p>internal audit and follow up on the actions from it</p> <p>Included where appropriate in performance reports to Corporate Management Team, Scrutiny Committee and Audit and Governance Committee</p>	
8.2	<p>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.</p>	Y	<p>Included where appropriate in performance reports to Corporate Management Team, Scrutiny Committee and Audit and Governance Committee</p>	<p>https://www.york.gov.uk/contact-us/raise-comment-compliment-complaint-concern/4#complaintsreport</p> <p>https://democracy.york.gov.uk/ieListDocuments.aspx?CId=1064&MId=14676</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Y	<p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Y	<p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	Included in the corporate governance team processes	<p>Forward work plan includes to ensure this requirement is set out explicitly in the required council service areas' business continuity and to update the content of the council website page with the below comments: -</p> <p>If we are unable to comply with the HOS (and LGSCO) Code due to exceptional circumstances, such as a cyber incident, we will inform the relevant Ombudsman, provide information to residents who may be affected, and publish these details on our website. This will include a timescale for returning to compliance with the Code.</p>

Section 9: Scrutiny & oversight: continuous learning and improvement

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Included where appropriate in performance reports to Corporate Management Team, Scrutiny Committee and Audit and Governance Committee</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Included in the corporate governance team processes</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p> <p>https://www.york.gov.uk/contact-us/raise-comment-compliment-complaint-concern/4#complaintsreport</p> <p>https://democracy.york.gov.uk/ieListDocuments.aspx?CId=1064&MId=14676</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>included in 4Cs and is published on council website.</p> <p>Ongoing work done with housing managers and their quality assurance A team</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Included where appropriate in performance reports to Corporate Management Team, Scrutiny Committee and Audit and Governance Committee</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p> <p>https://www.york.gov.uk/contact-us/raise-comment-compliment-complaint-concern/4#complaintsreport</p> <p>https://democracy.york.gov.uk/ieListDocuments.aspx?CId=1064&MId=14676</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>included in 4Cs and is published on council website.</p> <p>Ongoing work done with housing managers and their quality assurance A team</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Included where appropriate in performance reports to Corporate Management Team, Scrutiny Committee and Audit and Governance Committee. Also, to tenants' panels and groups</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p> <p>https://www.york.gov.uk/contact-us/raise-comment-compliment-complaint-concern/4#complaintsreport</p> <p>https://democracy.york.gov.uk/ieListDocuments.aspx?CId=1064&MId=14676</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>The corporate governance team managers are the appointed lead for these points</p> <p>This is included in the relevant job descriptions.</p> <p>Included where appropriate in performance reports to Corporate Management Team, Scrutiny Committee and Audit and Governance Committee</p>	

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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').	Y	<p>Working with the elected member with the portfolio for Housing, Planning and Safer Communities and the relevant Scrutiny Committees</p> <p>Currently there are regular reports to Corporate Management Team and Audit and Governance Committee, which includes the annual complaints performance and service improvement report at the appropriate time in the reporting year.</p>	<p>Work is underway to support the MRC with any training and information on the MRC role and its responsibilities; complete and implement the detailed plan for the support and guidance to the MRC including any additional reporting (updates etc) needs and how the MRC reports their findings.</p> <p>Ongoing review of the detailed plan to ensure it stays up to date and compliant with HOS guidance</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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.	Y	<p>Working with the elected member with the portfolio for Housing, Planning and Safer Communities and the relevant Scrutiny Committees</p> <p>Currently there are regular reports to Corporate Management Team and Audit and Governance Committee, which includes the annual complaints performance and service improvement report at the appropriate time in the reporting year.</p>	<p>Work is underway to support the MRC with any training and information on the MRC role and its responsibilities; complete the detailed plan for the support and guidance to the MRC including any additional reporting (updates etc) needs and how the MRC reports their findings.</p> <p>Ongoing review of the detailed plan to ensure it stays up to date and compliant with HOS guidance</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
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. 	Y	<p>Working with the elected member with the portfolio for Housing, Planning and Safer Communities and the relevant Scrutiny Committees</p> <p>Currently there are regular reports to Corporate Management Team and Audit and Governance Committee, which includes the annual complaints performance and service improvement report at the appropriate time in the reporting year.</p>	<p>Work is underway to support the MRC with any training and information on the MRC role and its responsibilities; complete the detailed plan for the support and guidance to the MRC including any additional reporting (updates etc) needs and how the MRC reports their findings.</p> <p>Ongoing review of the detailed plan to ensure it stays up to date and compliant with HOS guidance</p>

Code provision	Code requirement	Comply: Yes / No	Evidence	Further evidence/ commentary / explanation from Aug 24 submission
9.8	<p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <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 c. act within the professional standards for engaging with complaints as set by any relevant professional body. 	Y	Ongoing work with managers in housing service areas and HR where appropriate, to include these objectives and that they are consistently monitored	Forward work plan includes more focused approach to ensuring these objectives are included for all relevant staff and third-party contracts including where appropriate in the council's internal audit work plan/programme covering this area.