

Appendix A: Self-assessment form

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

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

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

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

Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	A complaint must be defined as: <i>‘an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.’</i>	Yes	Feedback Policy 3.2	The Feedback Policy adopts the Housing Ombudsman’s definition of a complaint and ensures that expressions of dissatisfaction about our services, actions, lack of action, staff or those acting on our behalf are recognised and handled appropriately.
1.3	A resident does not have to use the word ‘complaint’ for it to be treated as such. Whenever a resident expresses dissatisfaction landlords must give them the choice to make complaint. A complaint that is submitted via a third party or representative must be handled in line with the landlord’s complaints policy.	Yes	Feedback Policy 2.1, 4.2	Residents do not need to use the word ‘complaint’ for their concerns to be recognised as one. Residents can raise dissatisfaction verbally or in writing with staff, and complaints submitted by a representative or third party are handled through the same complaints process.
1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be	Yes	Feedback Policy 3.4(b)	The Feedback Policy clearly distinguishes between a service request and a complaint. Service requests are recorded and managed through the appropriate service process, while dissatisfaction with the response to a service request can

	recorded, monitored and reviewed regularly.			be progressed through the complaints process.
1.5	A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains.	Yes	Feedback Policy 3.4(b)	Where a resident expresses dissatisfaction with the response to a service request, this can be recorded and progressed as a complaint. Any action required to resolve the original service request continues alongside the complaint where appropriate.
1.6	An expression of dissatisfaction with services made through a survey is not defined as a complaint, though wherever possible, the person completing the survey should be made aware of how they can pursue a complaint if they wish to. Where landlords ask for wider feedback about their services, they also must provide details of how residents can complain.	Yes	Feedback Policy 3.4(d)	Feedback received through resident surveys is not automatically treated as a complaint. Where dissatisfaction is identified through a survey, residents are provided with information about how they can make a formal complaint should they wish to do so. Information on how to make a complaint is also provided when wider resident feedback is sought.

Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.1	Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint they must be able to evidence their reasoning. Each complaint must be considered on its own merits	Yes	Feedback Policy 7.5 2025/26 complaints records	YMCA South Midlands accepts complaints unless there is a valid reason not to do so. Each complaint is considered individually and on its own merits. All formal complaints received during 2025/26 were accepted through the complaints process.
2.2	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: - The issue giving rise to the complaint occurred over twelve months ago. - Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court.	Yes	Feedback Policy 7.4	The Feedback Policy clearly sets out the circumstances in which a complaint may not be considered or escalated. Any decision to exclude a complaint must be fair, reasonable and considered on the individual circumstances of the case.

	Matters that have previously been considered under the complaints policy.			
2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.	Yes	Feedback Policy 7.4(a)	Complaints made within 12 months of the issue occurring, or the resident becoming aware of the issue, are accepted unless another valid exclusion applies. Where a complaint is received outside this period, consideration is given to whether there are good reasons to exercise discretion and accept the complaint.
2.4	If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman. If the Ombudsman does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.	Yes	Feedback Policy 7.5 Complaint correspondence/templates	Where a complaint is not accepted, the resident will be provided with a clear explanation of the reasons for the decision and advised of their right to refer the decision to the Housing Ombudsman.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Feedback Policy 7.4	YMCA South Midlands does not apply blanket exclusions to complaints. Each complaint is considered individually, taking account of the circumstances of the resident and the complaint before any decision is made.

Section 3: Accessibility and Awareness

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
3.1	Landlords must make it easy for residents to complain by providing different channels through which they can make a complaint. Landlords must consider their duties under the Equality Act 2010 and anticipate the needs and reasonable adjustments of residents who may need to access the complaints process.	Yes	Feedback Policy 2.1, 4.1 Resident move-in information	Residents are able to make a complaint through a range of channels, including verbally and in writing, and can raise concerns directly with members of staff. Information about how to provide feedback and make a complaint is provided as part of the move-in process. Reasonable adjustments are considered where required to ensure the complaints process remains accessible.
3.2	Residents must be able to raise their complaints in any way and with any member of staff. All staff must be aware of the complaints process and be able to pass details of the complaint to the appropriate person within the landlord.	Yes	Feedback Policy 2.1, 4.2 Staff training; CRM complaint recording process	Residents can raise a complaint with any member of staff, who is responsible for ensuring that the complaint is recorded and passed to the appropriate person. Staff have received training on the complaints process. Improvements made to our CRM during 2025/26 have strengthened the process for directing recorded complaints to the appropriate manager.

3.3	High volumes of complaints must not be seen as a negative, as they can be indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.	Yes	Feedback Policy 4.2 2025/26 complaints data; resident feedback mechanisms	YMCA South Midlands does not view either high or low complaint volumes in isolation as an indication of service performance. Although formal complaints reduced significantly during 2025/26, residents continued to have access to a range of channels through which they could raise concerns and provide feedback. Complaint levels are considered alongside other forms of resident feedback to identify potential issues, themes and areas for improvement.
3.4	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the two stage process, what will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord's website.	Yes	Feedback Policy 4.3 YMCA South Midlands website; printed copies available on request	The Feedback Policy is available to residents in a clear and accessible format and is published on the YMCA South Midlands website. The policy explains the two-stage complaints process, what residents can expect at each stage and the relevant response timescales. Printed copies can also be provided on request.
3.5	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.	Yes	Feedback Policy 4.3 Move-in information; YMCA South Midlands website	Information about how to make a complaint is communicated to residents through the Feedback Policy, YMCA South Midlands website and information provided during the move-in

				process. Information about the Housing Ombudsman and the Complaint Handling Code is also made available to residents.
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any meeting with the landlord.	Yes	Feedback Policy 4.1, 8.1 Complaint correspondence	Residents can nominate a representative to deal with a complaint on their behalf and may be represented or accompanied at meetings relating to their complaint, where appropriate.
3.7	Landlords must provide residents with information on their right to access the Ombudsman service and how the individual can engage with the Ombudsman about their complaint.	Yes	Feedback Policy 10.1 Complaint correspondence; move-in information; YMCA South Midlands website	Residents are provided with information about their right to access the Housing Ombudsman Service and how they can contact and engage with the Ombudsman. This information is included within the Feedback Policy and relevant complaint correspondence and is also made available through resident information and our website.

Section 4: Complaint Handling Staff

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
4.1	Landlords must have a person or team assigned to take responsibility for complaint handling, including liaison with the Ombudsman and ensuring complaints are reported to the governing body (or equivalent). This Code will refer to that person or team as the 'complaints officer'. This role may be in addition to other duties.	Yes	Feedback Policy 7.1, 12.2 Complaints reporting arrangements	YMCA South Midlands has designated responsibility for overseeing complaint handling, including ensuring complaints are managed in accordance with the Feedback Policy, liaising with the Housing Ombudsman where required and ensuring complaint performance is reported through the organisation's governance arrangements.
4.2	The complaints officer must have access to staff at all levels to facilitate the prompt resolution of complaints. They must also have the authority and autonomy to act to resolve disputes promptly and fairly.	Yes	Feedback Policy 7.1	Those responsible for complaint handling have access to staff and managers across the organisation to support the investigation and resolution of complaints. They have appropriate authority and autonomy to seek information, challenge where necessary and work with relevant teams to resolve complaints promptly and fairly.
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	Yes	Feedback Policy 7.1, 12.2 Complaint handling training; 2025/26 Annual Feedback Performance and Service Improvement Report	YMCA South Midlands recognises complaint handling as an important part of service delivery and promotes a culture in which feedback is used as an

	important that complaints are seen as a core service and must be resourced to handle complaints effectively			opportunity to learn and improve. Relevant staff receive guidance and training on complaint handling, and learning from complaints is reviewed to identify opportunities for service improvement.
--	---	--	--	---

Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.	Yes	Feedback Policy 1.1, 7.1	YMCA South Midlands operates a single Feedback Policy for complaints covered by the Code. Residents are not treated differently or disadvantaged as a result of making a complaint.
5.2	The early and local resolution of issues between landlords and residents is key to effective complaint handling. It is not appropriate to have extra named stages (such as 'stage 0' or 'informal complaint') as this causes unnecessary confusion.	Yes	Feedback Policy 8.1	The Feedback Policy supports early resolution wherever possible while maintaining a clear two-stage formal complaints process. No additional formal complaint stages are used.
5.3	A process with more than two stages is not acceptable under any circumstances as this will make the complaint process unduly long and delay access to the Ombudsman.	Yes	Feedback Policy 8.8	The complaints process consists of two stages, with Stage 2 being YMCA South Midlands' final response.

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.	N/A	N/A - complaint responses are handled in-house	Complaints are handled internally by YMCA South Midlands and are not referred to a third party to provide complaint responses.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	N/A	N/A - YMCA South Midlands retains responsibility for complaint responses	Complaints are handled internally. Where contractors are involved in the circumstances giving rise to a complaint, YMCA South Midlands retains responsibility for the complaint and its response.
5.6	When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. The Code will refer to this as "the complaint definition". If any aspect of the complaint is unclear, the resident must be asked for clarification.	Yes	Feedback Policy 8.1, 8.8 Complaint letter templates	At Stage 1 and Stage 2, the complaint and the outcome being sought are established. Where any aspect is unclear, further information or clarification is sought from the resident.
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	Yes	Feedback Policy 8.1, 8.8 Complaint correspondence	Complaint acknowledgements establish the matters YMCA South Midlands is responsible for and clarify any matters which fall outside its responsibility.

	clarify any areas where this is not clear.			
5.8	At each stage of the complaints process, complaint handlers must: a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully.	Yes	Feedback Policy 5.3, 8.3	Complaints are considered on their individual merits. Residents are given an opportunity to explain their position and relevant information and evidence is considered before a decision is reached. Potential conflicts of interest are considered and managed where necessary.
5.9	Where a response to a complaint will fall outside the timescales set out in this Code, the landlord must agree with the resident suitable intervals for keeping them informed about their complaint.	Yes	Feedback Policy 8.1, 8.8 Complaint correspondence	Where additional time is required to investigate a complaint, the resident is informed and appropriate arrangements are made to keep them updated.
5.10	Landlords must make reasonable adjustments for residents where appropriate under the Equality Act 2010. Landlords must keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review.	Yes	Feedback Policy 4.1, 8.6 In-Form resident records	Reasonable adjustments are considered and provided where appropriate. Agreed adjustments and information disclosed by residents are recorded and can be reviewed to ensure the complaints process remains accessible.

5.11	Landlords must not refuse to escalate a complaint through all stages of the complaints procedure unless it has valid reasons to do so. Landlords must clearly set out these reasons, and they must comply with the provisions set out in section 2 of this Code.	Yes	Feedback Policy 8.8	Residents are able to request escalation through the complaints process. Any decision not to escalate must be based on a valid reason permitted by the Feedback Policy and clearly explained to the resident.
5.12	A full record must be kept of the complaint, and the outcomes at each stage. This must include the original complaint and the date received, all correspondence with the resident, correspondence with other parties, and any relevant supporting documentation such as reports or surveys.	Yes	Feedback Policy 9.1 In-Form complaint records; Managers Drive/HR Drive where applicable	A record of each complaint and its outcome is maintained, including relevant correspondence and supporting evidence. Improvements to CRM processes and record keeping identified during 2024/25, including further training and increased spot checks, have supported more consistent complaint records during 2025/26.
5.13	Landlords must have processes in place to ensure a complaint can be remedied at any stage of its complaints process. Landlords must ensure appropriate remedies can be provided at any stage of the complaints process without the need for escalation.	Yes	Feedback Policy 8.1, 8.5	Appropriate remedies can be offered at any stage of the complaints process without requiring the resident to escalate their complaint.
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	Yes	Feedback Policy 8.10 Positive Change Policy	YMCA South Midlands has arrangements for managing unacceptable behaviour. Any restrictions must be justified, proportionate and subject to review.

	putting any restrictions in place and must keep restrictions under regular review.			
5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.	Yes	Feedback Policy 4.1, 8.10 Positive Change Policy	Any restrictions on contact are considered individually, are proportionate to the circumstances and take account of the Equality Act 2010.

Section 6: Complaints Stages

Stage 1

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.1	Landlords must have processes in place to consider which complaints can be responded to as early as possible, and which require further investigation. Landlords must consider factors such as the complexity of the complaint and whether the resident is vulnerable or at risk. Most stage 1 complaints can be resolved promptly, and an explanation, apology or resolution provided to the resident.	Yes	Feedback Policy 8.1	Complaints are considered according to their individual circumstances and complexity, including any vulnerability or risk affecting the resident. Where possible, complaints are resolved promptly through an explanation, apology or appropriate remedy.
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <u>within five working days of the complaint being received</u> .	Yes	Feedback Policy 8.1 Template letters; In-Form complaint records	Stage 1 complaints are acknowledged, defined and logged within five working days of receipt. CRM improvements introduced following the 2024/25 review have strengthened monitoring of complaint acknowledgements during 2025/26.
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Feedback Policy 8.1 Template letters; In-Form complaint records	Stage 1 complaints are responded to within 10 working days of acknowledgement. Performance against complaint

				response timescales is monitored through the CRM.
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident.	Yes	Feedback Policy 8.1	Where the complexity of a complaint means an extension is necessary, the resident is informed of the reason and expected response date. Extensions do not exceed 10 working days without good reason.
6.5	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes	Feedback Policy 10.1 Complaint correspondence	Where an extension is required, residents are provided with information about the Housing Ombudsman Service.
6.6	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes	Feedback Policy 8.5	Complaint responses are issued once the answer to the complaint is known rather than being delayed until all outstanding actions are complete. Outstanding actions continue to be monitored and residents updated as appropriate.
6.7	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	Feedback Policy 8.5	Responses address the issues raised and provide clear reasons for decisions, with reference to relevant policies, legislation or good practice where appropriate.
6.8	Where residents raise additional complaints during the investigation,	Yes	Feedback Policy 8.3	Related issues raised during an investigation are incorporated

	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.			into the Stage 1 response where appropriate. Unrelated issues, or matters which would unreasonably delay the existing response, are recorded as a new complaint.
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.	Yes	Feedback Policy 8.5 Complaint response templates	Stage 1 responses clearly set out the complaint stage and definition, decision, reasons, remedies, outstanding actions and the resident's right to request escalation to Stage 2.

Stage 2

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.10	If all or part of the complaint is not resolved to the resident's satisfaction at	Yes	Feedback Policy 8.8	Where a resident remains dissatisfied following Stage 1, the

	stage 1, it must be progressed to stage 2 of the landlord's procedure. Stage 2 is the landlord's final response.			complaint can be progressed to Stage 2, which represents YMCA South Midlands' final response.
6.11	Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaints procedure within five working days of the escalation request being received.	Yes	Feedback Policy 8.8	Stage 2 requests are acknowledged, defined and logged within five working days.
6.12	Residents must not be required to explain their reasons for requesting a stage 2 consideration. Landlords are expected to make reasonable efforts to understand why a resident remains unhappy as part of its stage 2 response.	Yes	Feedback Policy 8.8	Residents are not required to explain their reasons for requesting a Stage 2 consideration. Complaint handlers make reasonable efforts to understand why the resident remains dissatisfied, and Stage 2 escalation is not conditional on the resident providing reasons.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Feedback Policy 5.3, 7.2, 7.3	Stage 2 complaints are considered by a different person from the individual who considered the complaint at Stage 1.
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	Feedback Policy 8.8	Final Stage 2 responses are issued within 20 working days of acknowledgement.
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,	Yes	Feedback Policy 8.8	Where additional time is necessary because of the complexity of the complaint, the resident is informed of the reasons and expected timescale. Any extension is no more than 20 working days without good reason.

	and the reason(s) must be clearly explained to the resident.			
6.16	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes	Feedback Policy 10.1	Residents are provided with Housing Ombudsman contact information when informed of an extension.
6.17	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes	Feedback Policy 8.5	Stage 2 responses are issued when the answer to the complaint is known. Any outstanding actions are tracked separately through to completion and residents are updated as appropriate.
6.18	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	Feedback Policy 8.5	Stage 2 responses address all points within the complaint definition and clearly explain the reasons for decisions made.
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: a. the complaint stage; b. the complaint definition; 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	Yes	Feedback Policy 8.5, 10.1 Complaint response templates	Final responses clearly set out the complaint stage and definition, decision and reasons, remedies, outstanding actions and how the resident can escalate the matter to the Housing Ombudsman Service.

	g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.			
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Feedback Policy 7.2, 7.3, 8.8	Stage 2 represents YMCA South Midlands' final complaint response and involves relevant staff where necessary to ensure a comprehensive response is provided.

Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include: • 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;	Yes	Feedback Policy 8.4 Complaint responses	Where something has gone wrong, YMCA South Midlands acknowledges this and considers appropriate action to put matters right. This may include an apology, explanation, corrective action, reconsideration of a decision or changes to policies, procedures and service delivery.

	• Providing a financial remedy; • Changing policies, procedures or practices.			
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Feedback Policy 8.5	Remedies are considered in relation to the individual circumstances and the impact that any identified service failure has had on the resident.
7.3	The remedy offer must clearly set out what will happen and by when, in agreement with the resident where appropriate. Any remedy proposed must be followed through to completion.	Yes	Feedback Policy 8.5 Complaint action records	Where a remedy or action is agreed, the resident is informed of what will happen and the expected timescale. Actions arising from complaints are monitored through to completion.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Feedback Policy 8.5	Housing Ombudsman guidance is considered when determining appropriate remedies.

Section 8: Self-assessment, Reporting and Compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include: a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.	Yes	Feedback Policy 12.2 2025/26 Annual Feedback Performance and Service Improvement Report; 2025/26 Self-Assessment	YMCA South Midlands produces an Annual Feedback Performance and Service Improvement Report which includes quantitative and qualitative analysis of complaints, complaint handling performance, learning and service improvements, relevant Housing Ombudsman findings and the annual self-assessment against the Complaint Handling Code.

8.2	The annual complaints performance and service improvement report must be reported to the landlord's governing body (or equivalent) and published on the on the section of its website relating to complaints. The governing body's response to the report must be published alongside this.	Yes	Feedback Policy 12.2 Board papers/minutes; YMCA South Midlands website	The Annual Feedback Performance and Service Improvement Report and self-assessment are presented to the Board for scrutiny and approval and subsequently published on the YMCA South Midlands website. The Board's response is published alongside the report.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes	Feedback Policy 12.1	YMCA South Midlands will undertake an additional self-assessment following a significant restructure, merger or material change to its complaints procedures, where required.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	Feedback Policy 12.1	YMCA South Midlands will review and update its self-assessment where requested following a Housing Ombudsman investigation.
8.5	If a landlord is unable to comply with the Code due to exceptional circumstances, such as a cyber incident, they must inform the Ombudsman, provide information to residents who may be affected, and publish this on their website Landlords must provide a timescale for returning to compliance with the Code.	Yes	Feedback Policy 12.3	Where exceptional circumstances prevent compliance with the Code, YMCA South Midlands will notify the Housing Ombudsman, communicate appropriately with affected residents, publish relevant information and provide a timescale for returning to compliance.

Section 9: Scrutiny & oversight: continuous learning and improvement

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
9.1	Landlords must look beyond the circumstances of the individual complaint and consider whether service improvements can be made as a result of any learning from the complaint.	Yes	Feedback Policy 8.7, 12.2 2025/26 Annual Feedback Performance and Service Improvement Report	Individual complaints are reviewed to identify whether there are wider lessons or opportunities for service improvement. Learning identified through complaints is considered beyond the circumstances of the individual case and incorporated into service improvements where appropriate.
9.2	A positive complaint handling culture is integral to the effectiveness with which landlords resolve disputes. Landlords must use complaints as a source of intelligence to identify issues and introduce positive changes in service delivery.	Yes	Feedback Policy 8.7, 12.2 2025/26 Annual Feedback Performance and Service Improvement Report	YMCA South Midlands promotes a positive feedback culture and uses complaints and other resident feedback as a source of intelligence to identify emerging issues, trends and opportunities to improve service delivery.
9.3	Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees.	Yes	Feedback Policy 8.7, 12.2 Annual report; resident/staff communications	Learning and improvements arising from complaints and wider feedback are communicated to relevant stakeholders, including residents, staff, senior management and the Board. This supports transparency and demonstrates how feedback contributes to service improvement.

9.4	Landlords must appoint a suitably senior lead person as accountable for their complaint handling. This person must assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.	Yes	Feedback Policy 12.2 Director responsible for complaint handling	A suitably senior member of staff is accountable for complaint handling and has responsibility for reviewing complaint themes and trends to identify potential systemic issues, risks and areas where policies, procedures or services may require improvement.
9.5	In addition to this a member of the governing body (or equivalent) must be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This person is referred to as the Member Responsible for Complaints ('the MRC').	Yes	Feedback Policy 12.2 Board governance arrangements	A nominated Board member acts as the Member Responsible for Complaints (MRC), providing governing body oversight and supporting a positive complaint handling culture.
9.6	The MRC will be responsible for ensuring the governing body receives regular information on complaints that provides insight on the landlord's complaint handling performance. This person must have access to suitable information and staff to perform this role and report on their findings.	Yes	Feedback Policy 12.2 Board reporting; Annual Feedback Performance and Service Improvement Report	The Member Responsible for Complaints has access to appropriate complaint performance information and relevant staff and supports the Board in scrutinising YMCA South Midlands' complaint handling performance.
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;	Yes	Feedback Policy 12.2 Monthly KPI reports; Board reports; 2025/26 Annual Feedback Performance and Service Improvement Report	Complaint information is reported through YMCA South Midlands' governance arrangements. This includes complaint volumes, categories, outcomes, performance, themes and trends and, where

	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.			applicable, Housing Ombudsman findings and actions. Complaint KPIs are reported to SLT monthly and at every Board meeting, with the annual performance and service improvement report providing an annual overview.
9.8	Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to: 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.	Yes	Feedback Policy 7.1 Staff complaint-handling responsibilities/training	Relevant staff are expected to take a collaborative approach to resolving complaints, work constructively across teams and take collective responsibility for addressing service failures and learning from complaints. Complaint handling is undertaken in accordance with the standards and expectations set out within the Feedback Policy.