

Complaint handling code self-assessment* June 2024

Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2 (code provisions start at 1.2)	A complaint must be defined as: <i>‘an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.’</i>	Yes	Complaints Policy	Point 1 of our complaints policy uses this definition of a complaint.
1.3	A resident does not have to use the word ‘complaint’ for it to be treated as such. Whenever a resident expresses dissatisfaction landlords must give them the choice to make complaint. A complaint that is submitted via a third party or representative must be handled in line with the landlord’s complaints policy.	Yes	Complaints Policy, points 1, 3.	Our complaints policy guides how we work when dealing with complaints and this requirement is covered by points 1 and 3. Covered by existing employee training.
1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints	Yes	Complaints Policy, points 2, 8, 9.	Our complaints policy describes the difference between a service request and a complaint and how we will respond to them. An area of further

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	<p>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.</p>			development is how the policy is applied consistently.
1.5	<p>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.</p>	Yes	<p>Through training and information available to all SYHA staff on our Base intranet</p>	<p>Complaint handling resources are available on our Base intranet. We are developing future training to build on existing training and build further evidence.</p>
1.6	<p>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</p>	Yes	<p>Survey process Survey guidance</p>	<p>Built into routine survey collection. Survey guidance is available that describes how information about complaints must be shared when carrying out surveys.</p>

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	details of how residents can complain.			
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Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.1	Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint they must be able to evidence their reasoning. Each complaint must be considered on its own merits	Yes	Complaints Policy, points 25, 26	We accept all complaints unless they are those described in our policy. If we refuse to accept or escalate a complaint we will explain our reasons.
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.	Yes	Complaints Policy, points 25	We accept all complaints unless they are those described in our policy.

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	<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>			
2.3	<p>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.</p>	Yes	Complaints Policy, points 7	<p>Our complaints policy sets out we accept complaints within 12 months of the issue occurring. Beyond this period we apply discretion on a case-by-case basis.</p>
2.4	<p>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</p>	Yes	Complaints Policy, points 26	<p>If we do not accept a complaint our Customer Experience Team leads on discussing the reasons why with the customer and documents the decision.</p>

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	Ombudsman may tell the landlord to take on the complaint.			
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Complaints Policy, points 25	We will consider each complaint on its own merits. If we exclude a complaint our Customer Experience Team will discuss the reasons why with the customer. A record of excluded complaints is kept and updated by our Customer Experience Team

Section 3: Accessibility and Awareness

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
3.1	Landlords must make it easy for residents to complain by providing different channels through which they can make a complaint. Landlords must consider their duties under the Equality Act 2010 and anticipate the needs and reasonable adjustments of residents who may need to access the complaints process.	Yes	Complaints policy, points 4, 23 & 24	Our complaints policy details the range of ways residents can make a complaint. When we review the complaints policy we complete an Equality Impact Assessment. An area to strengthen is how we deal with reasonable adjustments.
3.2	Residents must be able to raise their complaints in any way and with any	Yes	Complaints policy, points 4	Our policy describes how complaints can be raised with any member of

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	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.			staff. We are developing how we increase staff awareness and our collective responsibility to take action.
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	Annual Complaints and Improvement Report June 2024	Our Executive Team and Board have received information that higher volumes of complaints must not be seen as negative. This message will be included in briefings and employee training.
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	Complaints policy, point 4, flowchart 'How a complaint is handled'	Our complaint policy is available on our website and on request a paper version and large print version is available. The flowchart on the final page of the policy describes our two-stage complaint process, including timescales for response and what they can expect at each stage.
3.5	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.	Yes	Complaints policy, points 6, 18, 21 & 31	Our complaints policy and information about the Ombudsman and Code is publicised on our website. We also share the Ombudsman's contact details at key points through the

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				complaints process to raise awareness of the service and the advice they can offer.
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	Complaint Policy, point 3	Our complaints policy guides how we work when dealing with complaints raised on behalf of a resident.
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	Complaint Policy, point 11, 18 & 21	When we respond to a complaint and review, information about how to access the Ombudsman is shared. We also share details about Ombudsman service if we are unable to provide a response within timescale. Details of the Ombudsman service is available on the Complaints page on 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	Yes	Organisation chart and job descriptions	We have a dedicated Customer Experience Team that oversees complaints handling, including liaising

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	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.			with the Ombudsman and ensuring complaints are reported to the governing body.
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	Complaints training package	Complaint owners have access to colleagues at all levels across the business to facilitate dealing with complaints.
4.3	Landlords are expected to prioritise complaint handling and a culture of learning from complaints. All relevant staff must be suitably trained in the importance of complaint handling. It is important that complaints are seen as a core service and must be resourced to handle complaints effectively	Yes	Complaints training package, organisation chart and job descriptions	Staff who handle complaints currently receive training and support from our Customer Experience Team to help them handle complaints. We are further developing the training and will be training a broader range of staff.

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Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.	Yes	Complaints Policy	There is one single complaint policy that guides how to handle 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	Complaint policy, points 8 & 9	There are no additional stages in our policy.
5.3	A process with more than two stages is not acceptable under any circumstances as this will make the complaint process unduly long and delay access to the Ombudsman.	Yes	Complaints policy, points 11, 15 & 20 Flowchart 'How a complaint is handled'	There are two stages to our policy, complaint and review.
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	Yes	Complaints Policy	All complaints are handled by SYHA in line with our Complaints policy.

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	form part of the two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes.			
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Complaints Policy	All complaints are handled by SYHA in line with our Complaints policy.
5.6	When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. The Code will refer to this as “the complaint definition”. If any aspect of the complaint is unclear, the resident must be asked for clarification.	Yes	Complaints Policy, point 10, 17, webform	Customer Advisors in our Contact Team use a webform to make sure the right information is collected when a complaint (stage 1) received. Our Customer Experience Team then log all complaints, clarify any details with the customer if necessary and send the acknowledgement including our understanding of the complaint. Reviews (stage 2) are dealt with by our Customer Experience Team. They check and clarify details with the customer and send the acknowledgement including our understanding of the review .
5.7	When a complaint is acknowledged at either stage, landlords must be clear which aspects of the complaint	Yes	Complaint policy, points 10, 17	Our Customer Experience team clarify where necessary which elements we

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	they are, and are not, responsible for and clarify any areas where this is not clear.			are looking into when they acknowledge complaints and reviews.
5.8	At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully. 	Yes	Complaints training package, complaint handling form	Complaint owners and Reviewers receive training that describes their role and how to best handle complaints. These points are also on our internal complaints handling form that complaint owners follow.
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	Complaint policy, point 11, 18, complaint training package	Complaint owners receive training and support to make sure they know the steps they must follow if responding to a complaint or review falls outside the timescales set out in the Code and how this should be recorded in our housing management system. Our Customer Experience Team reviews complaints that fall outside of timescale to make sure they follow the Code.

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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.	Yes		We are working on implementing a reasonable adjustments policy to drive consistency.
5.11	Landlords must not refuse to escalate a complaint through all stages of the complaints procedure unless it has valid reasons to do so. Landlords must clearly set out these reasons, and they must comply with the provisions set out in section 2 of this Code.	Yes	Complaints Policy, point 15, 25, 30	Our complaints policy guides how we work when dealing with escalations. If we refuse to escalate a complaint, our Customer Experience Team lead on explaining the reason and documenting it.
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	Cx - housing management system Documotive - EDRM	A full record is kept in our housing management and electronic document record management systems.

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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	Employee training package	Roles that deal with complaints and reviews receive training on remedies.
5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives. Landlords must be able to evidence reasons for putting any restrictions in place and must keep restrictions under regular review.	Yes	Complaints Policy, point 30, unreasonable behaviour guidelines and internal guidance	Our complaints policy offers a link to unreasonable behaviour guidelines and we have an internal process for how we assess and manage incidences of unreasonable behaviour.
5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.	Yes	Unreasonable behaviour internal guidance	The process we use to respond to incidences of unreasonable behaviour involves considering mitigating factors to guide that the appropriate action is taken. Mitigating factors include demonstrating regard for the provision of the Equality Act.

*This assessment covers South Yorkshire Housing Association and Alliance Housing (South Yorkshire) residents

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	Training package, complaints handling performance monitoring	The training and support complaint owners receive emphasises responding in a timely way. Performance management is in place to monitor response is happening in a timely way and to pick up and deal with exceptions.
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	Complaints Policy, point 10	All complaints are acknowledged by our Customer Experience Team within 5 working days of being received.
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10</u>	Yes	Complaints Policy, point 11, complaints handling performance monitoring	Our complaints policy guides how we aim to give a full response within 10 working days of a complaint being

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	<u>working days</u> of the complaint being acknowledged.			acknowledged, point 11. Complaints handling performance is monitored.
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident.	Yes	Complaints Policy, point 11, Extension monitoring sheet.	Our complaints policy describes how extensions must be dealt with by complaint owners. Complaint owners receive training and support to ensure the policy is followed. Our Customer Experience Team monitors and documents that the policy is being followed.
6.5	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes	Complaints Policy, point 11	Included in the training and support complaint owners receive. Written templates are available for complaint owners to use when they inform the customer.
6.6	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes	Complaints Policy, point 11	Our complaints policy guides how outstanding actions to resolve a complaint will be shared in our complaint response but must not delay our complaint response. Complaint owners receive training to make sure we are consistent in our approach.

*This assessment covers South Yorkshire Housing Association and Alliance Housing (South Yorkshire) residents

6.7	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	Complaints Policy, point 13	Our complaints policy sets out the elements which will be included in our response.
6.8	Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if they are related and the stage 1 response has not been issued. Where the stage 1 response has been issued, the new issues are unrelated to the issues already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.	Yes	Complaints Policy, point 12	Our complaints policy describes when we will include additional complaints to an existing complaint and when we will log 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: <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; 	Yes	Complaints Policy, point 13, employee training, response writing resources and templates.	Our complaints policy sets out the elements which will be included in our response along with information about how to escalate if the person is unhappy with our response. Complaint owners are trained on writing response letters and, good practice resources and templates are available for them to use.

*This assessment covers South Yorkshire Housing Association and Alliance Housing (South Yorkshire) residents

	<p>e. the details of any remedy offered to put things right;</p> <p>f. details of any outstanding actions; and</p> <p>g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</p>			
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Stage 2

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.10	If all or part of the complaint is not resolved to the resident's satisfaction at stage 1, it must be progressed to stage 2 of the landlord's procedure. Stage 2 is the landlord's final response.	Yes	Complaint Policy, point 15	Our complaints policy describes the escalation process and customers are informed about it in the response to their complaint. When a customer expresses dissatisfaction with a complaint response we always escalate to the next stage for their complaint to be reviewed.
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	Complaint Policy, point 17	Our complaints policy guides how we acknowledge requests for complaints to be escalated to review (stage 2). Our Customer Experience Team record and acknowledge all reviews within 5 working days of a request to escalate.

*This assessment covers South Yorkshire Housing Association and Alliance Housing (South Yorkshire) residents

				The acknowledgement confirms we have received and recorded the review.
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	Complaint Policy, point 17	When a person is unhappy with the response our Customer Experience Team will contact them to find out the reason/s why. If they are unable to determine the reasons the complaint would still proceed to review (stage 2)
6.13	The person considering the complaint at stage 2 must not be the same person Yes that considered the complaint at stage 1.	Yes	Complaint Policy, point 16	A review (stage 2) is always completed by a role that is at lead level or more senior than the complaint owner, and where possible from a different department.
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	Complaint Policy, point 18	Our complaints policy guides how we aim to give a full response within 20 working days of a review (stage 2) being acknowledged.
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	Yes	Complaint Policy, point 18	Our complaints policy sets out the steps we will take if we are unable to respond within 20 working days. Extensions are monitored and tracked by our Customer Experience Team.

*This assessment covers South Yorkshire Housing Association and Alliance Housing (South Yorkshire) residents

	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	Complaint Policy, point 18	Our Customer Experience Team facilitate reviews and work closely with reviewers including making sure any extensions are communicated correctly.
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	Complaint Policy, point 18, employee training package	Our complaints policy sets out we will respond when the outcome of a review is known and outstanding actions will have a named owner and be tracked. Reviewers receive training to make sure they understand this.
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	Complaint policy, point 19	When we respond we will address each point raised in the complaint, including clear reasons for the decisions we have made. Reviewers receive training and support to make they respond to reviews in a consistent way.
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;	Yes	Complaint policy, point 19	Reviewers receive training to make sure these points are confirmed when responding to a complaint. Reviewers have access to good practice resources for writing response letters.

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	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.			
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Complaint Policy, point 16 & 20	Our Complaint policy describes how a complaint review is our final response. Part of the Review process, is a Director agrees and signs off the review response.

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	Yes	Complaint policy, point 8, 13, 19, employee training package	Our complaints policy describes how we take a proactive approach when we hear dissatisfaction. We are developing our training package to

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	<p>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. 			<p>give more focus to acknowledge when things go wrong and take action to put things right.</p>
7.2	<p>Any remedy offered must reflect the impact on the resident as a result of any fault identified.</p>	Yes	<p>Complaint Policy, point 29, compensation policy</p>	<p>Our complaints policy sets out how the impact of a fault should be considered by the complaint owner or complaint reviewer, and may involve compensating a customer. We have a compensation policy and internal guidelines for calculating discretionary compensation to support consistency. We are also developing further good practice resources related to remedies.</p>

*This assessment covers South Yorkshire Housing Association and Alliance Housing (South Yorkshire) residents

7.3	The remedy offer must clearly set out what will happen and by when, in agreement with the resident where appropriate. Any remedy proposed must be followed through to completion.	Yes	Complaint Policy, 13, 19	Our complaints policy describes how any remedies must be part of our response, including timescales and how we will share updates.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Compensation Policy Guidance about calculating and paying compensation is available on Base intranet	We are developing good practice resources to support complaint owners when deciding on remedies, including guidance issued by the Ombudsman

Section 8: Self-assessment, Reporting & 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	Yes	Our annual complaints performance and service improvement report (SYHA & Alliance Housing) went to Board meetings in June 2024. All Board meetings are minuted.	The Boards (SYHA & Alliance Housing) routinely receives an annual report on complaints. We used the code requirements and guidance to structure the 23-24 report and are published on our website.

*This assessment covers South Yorkshire Housing Association and Alliance Housing (South Yorkshire) residents

	<p>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> <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>			
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 section of its website relating to complaints. The governing body's response to the report must be published alongside this.</p>	Yes	<p>The Boards response can be found on our website.</p>	<p>Reports went to the Board meetings in June. The Boards response to the report and the report are published on our website.</p> <p>Members of SYHA Board are on the Alliance Housing Board. The Board response covers SYHA and Alliance Housing.</p>
8.3	<p>Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.</p>	Yes	<p>HO complaint self-assessment responsibilities guide</p>	<p>Our Senior Lead for complaints is responsible for making sure self-assessments are carried out when required.</p>

*This assessment covers South Yorkshire Housing Association and Alliance Housing (South Yorkshire) residents

8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	HO complaint self-assessment responsibilities guide	Our Senior Lead for complaints is responsible for making sure self-assessments are carried out when required.
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	HO complaint self-assessment responsibilities guide	Our Senior Lead for complaints is responsible for informing customers and the Housing Ombudsman if we are unable to comply with the code and communicating timescales.

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	Learning outcomes quarterly report	Learning outcomes captured for each complaint and review. A quarterly report is produced to share with service areas to identify service improvements. We are developing a framework for capturing service improvements related to complaints.

*This assessment covers South Yorkshire Housing Association and Alliance Housing (South Yorkshire) residents

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	Complaint Reviews process. Complaints training and resources Learning outcomes quarterly report	Our Executive Team and Customer Experience Team champion a positive complaints-handling culture. We are further developing complaints training and employee communications to support and maintain a positive complaint handling culture. We are also developing a framework for capturing service improvements related to complaints.
9.3	Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees.	Yes	Learning outcomes quarterly report, information for customers on the website about learning from complaints Complaints Annual Board Report	We share examples of how we have learnt from complaints on the website. To build on how we are learning from complaints we are developing a framework to ensure we are routinely identifying, capturing and tracking learning improvements.
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	Senior Lead Person identified	The Head of Customer Connect is the suitable senior lead person accountable for Complaint Handling. We are developing how they will assess and report on themes and trends.

*This assessment covers South Yorkshire Housing Association and Alliance Housing (South Yorkshire) residents

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	A member of the Board has been identified as the MRC.	The MRC has a dual role to report to both Boards (SYHA and Alliance Housing)
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	MRC Induction programme	The MRC receives an induction into complaints handling. They have access to staff and the Senior Lead for complaints handling and our Customer Experience Team are in regular contact.
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; b. regular reviews of issues and trends arising from complaint handling;	Yes	Annual complaints performance board report	Our Boards (SYHA & Alliance Housing) receive an annual complaints performance report and we are developing how they will receive more regular updates on a range of complaint data, information and insight.

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	<p>c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and</p> <p>d. annual complaints performance and service improvement report.</p>			
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> <p>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</p> <p>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</p> <p>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</p>	Yes		<p>We are reviewing our people performance management process and training for Managers on the process and setting objectives was completed in April 2024. Through 6 monthly reviews, we will include these objectives for all relevant employees.</p>

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