

## YMCA East Surrey 2026 Self-assessment form

YMCA East Surrey is required to complete a self-assessment form together with evidence, with additional commentary as necessary, so as such this has been completed by the Head of Housing - Lee Fabry, who oversees complaints within Housing.

It has been approved by YMCA East Surrey Board of Trustee's, our governing body.

The self-assessment is published on our website as part of the annual complaint's performance and service improvement report, along with the Board of Trustee's response to the report.

## Section 1: Definition of a complaint

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                         | Comply Yes/No | Evidence                                                                  | Commentary / explanation |
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| 1.2            | A complaint must be defined as:<br><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           | Published complaints policy and procedure on the YMCA East Surrey Website | Page 2 of the policy     |
| 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 managed in line with the landlord's complaints policy. | Yes           | Published complaints policy and procedure on the YMCA East Surrey Website | Page 2 of the policy     |
| 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                         | Yes           | Published complaints policy and procedure on the YMCA East Surrey Website | Page 2 of the policy     |

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|     | must be recorded, monitored, and reviewed regularly.                                                                                                                                                                                                                                                                                                               |     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| 1.5 | A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains.                                                                                    | Yes | Published complaints policy and procedure on the YMCA East Surrey Website                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | Page 2 of the policy                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |
| 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 | <p>Any person planning to pursue a complaint are asked for wider feedback about our services and be provided details of how they can complain via resident reps, resident meetings, and support meetings.</p> <p>Complaints are an opportunity to gain experience and improve our services. As part of our commitment for continual improvement we introduced a 'Learning from Feedback' Forum to provide a platform to learn, progress and regularly discuss feedback. We are able track complaints learning and action using internal tracker tools and report back to this forum.</p> | <p>Tenant Satisfaction Measures (TSM's) are to be conducted every 2 years advised by The Housing Ombudsman, due to having under one thousand bed spaces.</p> <p>We carried out a TSM survey conducted in March 2025, we received a high overall satisfaction score of 82.8%, with residents stating the help and support from staff as the reason most often mentioned for satisfaction. However, we strive for continuous improvement so focus areas have been raised for improvement to provide better security of the property, maintenance, and improved Wi-Fi. Other areas</p> |

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|  |  |  | <p>TSM survey results available upon requite.</p> | <p>of focus are repairs of resident rooms and communal areas, especially timeliness and making residents feel repairs are a priority and improved communication around repairs.</p> <p>Furthermore, how residents can raise a complaint needs to be communicated and advertised better.</p> <p>Action plan for 2026/7, following on from the previous year:</p> <p>To improved reporting of repairs for resident rooms and communal areas by Sept 2026. An online multi-purpose IT platform called 'Log-It' is used to provide accessibility, timeliness and help residents, staff and services users understand repairs are a priority. The platform provides the ability to record repairs, learnings, and actions. Using the tracker tools, we can report back to residents, staff, and other service users via resident meetings/forums.</p> <p>To improve our complaints reporting platform by October 2026, for improved reporting of</p> |
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|  |  |  |  | <p>complaints for residents, service users and customers. As above, an online multi-purpose IT platform called 'Log-It' has is used for accessibility, timeliness and helping residents, customers and services users understand complaints are a priority. The platform provides the ability to record complaints, learnings, and actions. Using the tracker tools, we can report back to residents, customers, and other service users via appropriate channels.</p> <p>To introduction a bar code to help report repairs easier for residents. by November 2026. Posters will be made up with a bar code to scan for residents, staff, service users and customers to ensure we are transparent, and client-driven regarding facilities, repairs, and maintenance.</p> <p>Improvement of the visual poster that contains a bar code to report complaints by August 2026. Posters with a bar code to scan for residents, service users and customers to ensure we are transparent, and client driven.</p> <p>The introduction of a Housing Operations Manager to improved operations, safety, and security of our properties.</p> |
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|  |  |  |  | <p>Housing Operations Manager to conducting a safety and security review in conjunction with the Facilities Manger by Sept 2026, including improved maintenance and Wi-Fi throughout all buildings.</p> <p>Improve staff training and offer of qualifications in key areas of resident support to ensure staff have complete training packages in all vital areas of resident's support, taking a trauma informed approach, throughout the year.</p> |
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## Section 2: Exclusions

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Comply: Yes / No | Evidence                                                                  | Commentary / explanation   |
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| 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              | Published complaints policy and procedure on the YMCA East Surrey Website | Page 1& 2 of the policy    |
| 2.2            | <p>A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> <li>• The issue giving rise to the complaint occurred over twelve months ago.</li> <li>• 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.</li> </ul> | Yes              | Published complaints policy and procedure on the YMCA East Surrey Website | Page 1 and 2 of the policy |

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|     | <ul style="list-style-type: none"> <li>Matters that have previously been considered under the complaints policy.</li> </ul>                                                                                                                                                                                                                                                 |     |                                                                           |                      |
| 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 | Published complaints policy and procedure on the YMCA East Surrey Website | Page 4 of the policy |
| 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 applied, the Ombudsman may tell the landlord to take on the complaint. | Yes | Published complaints policy and procedure on the YMCA East Surrey Website | Page 2 of the policy |
| 2.5 | Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.                                                                                                                                                                                                                                      | Yes | Published complaints policy and procedure on the YMCA East Surrey Website | Page 3 of the policy |

### Section 3: Accessibility and Awareness

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                | Comply: Yes / No | Evidence                                                                                                                                                                                                                                                                                 | Commentary / explanation                |
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| 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              | Published complaints policy and procedure on the YMCA East Surrey Website                                                                                                                                                                                                                | Page 3 of the policy                    |
| 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              | YMCA staff have signed acceptance and understanding of the current policy via our HR Information system Health Box HR and will do the same with the new policy introduction. Training will also be rolled out, so staff have a better understanding of the complaints policy and process | Available via Health Box, our HR Portal |
| 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                                                                                                                            | Yes              | Complaints are published in our Annual Complaints Performance Service Improvement Report available via the YMCA Website.                                                                                                                                                                 | Available on the YMCA Website           |

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|     | sign that residents are unable to complain.                                                                                                                                                                                                                                 |     |                                                                           |                               |
| 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 times for responding. The policy must also be published on the landlord's website. | Yes | Published complaints policy and procedure on the YMCA East Surrey Website | Available on the YMCA Website |
| 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 | Published complaints policy and procedure on the YMCA East Surrey Website | Page 4 of the policy          |
| 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 | Published complaints policy and procedure on the YMCA East Surrey Website | Page 5 of the policy          |
| 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 | Published complaints policy and procedure on the YMCA East Surrey Website | Page 6 of the policy          |

## Section 4: Complaint Handling Staff

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                                     | Comply: Yes / No | Evidence                                                                                                                                                                    | Commentary / explanation                                                                    |
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| 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              | Published complaints policy and procedure on the YMCA East Surrey Website                                                                                                   | Page 4 of the policy                                                                        |
| 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              | Published complaints policy and procedure on the YMCA East Surrey Website                                                                                                   | Page 4 of the policy                                                                        |
| 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 manage complaints effectively                            | Yes              | Published complaints policy and procedure on the YMCA East Surrey Website.<br><br>Staff have been trained on importance of the code and helped to see it as a core service. | Page 4 of the policy<br>Introduction of staff training in 2025 and continues through 2026/7 |

## Section 5: The Complaint Handling Process

| Code provision | Code requirement                                                                                                                                                                                                                                                                  | Comply: Yes / No | Evidence                                                                  | Commentary / explanation |
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| 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              | Published complaints policy and procedure on the YMCA East Surrey Website | Page 1 of the policy     |
| 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              | Published complaints policy and procedure on the YMCA East Surrey Website | Page 5 of the 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              | Published complaints policy and procedure on the YMCA East Surrey Website | Page 5 of the policy     |
| 5.4            | Where a landlord's complaint response is managed 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                                                                       | N/A                      |

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| 5.5 | Landlords are responsible for ensuring that any third parties manage complaints in line with the Code.                                                                                                                                                                                                                                                                                                                                     | N/A | N/A                                                                                                                        | N/A                                                                                               |
| 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 | The complaint definition was added and published in our complaints policy and is available on the YMCA East Surrey Website | Template responses were developed incorporate this explanation.                                   |
| 5.7 | When a complaint is acknowledged at either stage, landlords must be clear which aspects of the complaint they are, and are not, responsible for and clarify any areas where this is not clear.                                                                                                                                                                                                                                             | Yes | Published complaints policy and procedure on the YMCA East Surrey Website                                                  | Page 5 of the policy<br>Template responses to be developed that will incorporate this explanation |
| 5.8 | At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> <li>a. deal with complaints on their merits, act independently, and have an open mind.</li> <li>b. give the resident a fair chance to set out their position.</li> <li>c. take measures to address any actual or perceived conflict of interest; and</li> <li>d. consider all relevant information and evidence carefully.</li> </ul> | Yes | Published complaints policy and procedure on the YMCA East Surrey Website                                                  | Page 5 of the policy                                                                              |

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| 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 | Published complaints policy and procedure on the YMCA East Surrey Website                   | Page 5 of the policy                                                                                                                                                                   |
| 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 | Published complaints policy and procedure on the YMCA East Surrey Website                   | Page 3 & 6 of the policy                                                                                                                                                               |
| 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.                                                 |     | Published complaints policy and procedure on the YMCA East Surrey Website                   | Page 6 of the policy                                                                                                                                                                   |
| 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                                                               | Yes | Details added and published to our complaints policy. Found on the YMCA East Surrey Website | A full complaints record is kept on our data based called 'My Concern' which includes the outcomes at each stage. This includes the original complaint, and the date received, as well |

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|      | documentation such as reports or surveys.                                                                                                                                                                                                                               |     |                                                                           | as all correspondence with the resident. Also, correspondence with other parties, and any relevant supporting data and documentation.          |
| 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 | Published complaints policy and procedure on the YMCA East Surrey Website | Page 5 of the policy<br>Complaint handlers have appropriate levels of authority to ensure that complaints are remedied as swiftly as possible. |
| 5.14 | Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives. Landlords must be able to evidence reasons for putting any restrictions in place and must keep restrictions under regular review. | Yes | Behaviour management policy                                               | Available upon request                                                                                                                         |
| 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 | Behaviour management policy                                               | Available upon request                                                                                                                         |

## Section 6: Complaints Stages

### Stage 1

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                                                                                                        | Comply: Yes / No | Evidence                                                                  | Commentary / explanation |
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| 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              | Published complaints policy and procedure on the YMCA East Surrey Website | Page 4 & 5 of the policy |
| 6.2            | Complaints must be acknowledged, defined, and logged at stage 1 of the complaint's procedure <u>within five working days of the complaint being received</u> .                                                                                                                                                                                                                                          | Yes              | Published complaints policy and procedure on the YMCA East Surrey Website | Page 5 of the policy     |
| 6.3            | Landlords must issue a full response to stage 1 complaints <u>within ten working days</u> of the complaint being acknowledged.                                                                                                                                                                                                                                                                          | Yes              | Published complaints policy and procedure on the YMCA East Surrey Website | Page 5 of the policy     |
| 6.4            | Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the                                                                                                                                                                                                                                                             | Yes              | Published complaints policy and procedure on the YMCA East Surrey Website | Page 5 of the policy     |

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|     | resident of the expected timescale for response. Any extension must be no more than ten working days without good reason, and the reason(s) must be clearly explained to the resident.                                                                                                            |     |                                                                           |                                                                                                       |
| 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 | Published complaints policy and procedure on the YMCA East Surrey Website | Page 54 of the policy                                                                                 |
| 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 | Published complaints policy and procedure on the YMCA East Surrey Website | Page 5 and Appendix 1 of the policy                                                                   |
| 6.7 | Landlords must address all points raised in the complaint definition and provide apparent reasons for any decisions, referencing the relevant policy, law, and good practice where appropriate.                                                                                                   | Yes | Published complaints policy and procedure on the YMCA East Surrey Website | Appendix 1 of the policy<br>Template responses to be developed that will incorporate this requirement |
| 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                                                                                   | Yes | Recorded within the complaint's documentation                             | Incorporated within the records on our complaints database, 'My Concern' as and when these arise.     |

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|     | response has been issued, the current issues are unrelated to the issues already being investigated or it would unreasonably delay the response, the current issues must be logged 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: <ul style="list-style-type: none"> <li>a. the complaint stage.</li> <li>b. the complaint definition.</li> <li>c. the decision on the complaint.</li> <li>d. the reasons for any decisions made.</li> <li>e. the details of any remedy offered to put things right.</li> <li>f. details of any outstanding actions; and</li> <li>g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</li> </ul> | Yes | Published complaints policy and procedure on the YMCA East Surrey Website | Page 5 of the policy<br>Template responses to be developed that will incorporate this requirement |

## Stage 2

| Code provision | Code requirement                                                                                                                                         | Comply: Yes / No | Evidence                                                                  | Commentary / explanation |
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| 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. | Yes              | Published complaints policy and procedure on the YMCA East Surrey Website | Page 5 of the policy     |

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|      | Stage 2 is the landlord's final response.                                                                                                                                                                                                                                                                                             |     |                                                                                                               |                      |
| 6.11 | Requests for stage 2 must be acknowledged, defined, and logged at stage 2 of the complaint's procedure within five working days of the escalation request being received.                                                                                                                                                             | Yes | Published complaints policy and procedure on the YMCA East Surrey Website                                     | Page 5 of the policy |
| 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 | Published complaints policy and procedure on the YMCA East Surrey Website<br>Recorded in complaints register. | Page 5 of the policy |
| 6.13 | The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.                                                                                                                                                                                                                 | Yes | Published complaints policy and procedure on the YMCA East Surrey Website<br>Recorded in complaints register. | Page 5 of the policy |
| 6.14 | Landlords must issue a final response to the stage 2 <u>within twenty working days</u> of the complaint being acknowledged.                                                                                                                                                                                                           | Yes | Published complaints policy and procedure on the YMCA East Surrey Website                                     | Page 5 of the policy |
| 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 twenty working days without good reason, and the reason(s) must be clearly explained to the resident. | Yes | Published complaints policy and procedure on the YMCA East Surrey Website                                     | Page 5 of the policy |

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| 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 | Submitted complaints policy and procedure | Page 5 & 6 of the policy                                                          |
| 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 | Submitted complaints policy and procedure | Appendix 1 of the policy.                                                         |
| 6.18 | Landlords must address all points raised in the complaint definition and provide apparent reasons for any decisions, referencing the relevant policy, law, and good practice where appropriate.                                                                                                                                                                             | Yes | Submitted complaints policy and procedure | Appendix 1 of the policy.                                                         |
| 6.19 | Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:<br>a. the complaint stage.<br>b. the complaint definition.<br>c. the decision on the complaint.<br>d. the reasons for any decisions made.<br>e. the details of any remedy offered to put things right.<br>f. details of any outstanding actions; and | Yes | Submitted complaints policy and procedure | Page 5 of the policy<br>Template responses developed incorporate this requirement |

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|      | 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 | Submitted complaints policy and procedure | Page 4 of the policy |

### Section 7: Putting things right.

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Comply: Yes / No | Evidence                                  | Commentary / explanation                                                     |
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| 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"> <li>• Apologising.</li> <li>• Acknowledging where things have gone wrong.</li> <li>• Providing an explanation, assistance, or reasons.</li> <li>• Acting if there has been delay.</li> <li>• Reconsidering or changing a decision.</li> <li>• Amending a record or adding a correction or addendum.</li> <li>• Providing a financial remedy.</li> <li>• Changing policies, procedures, or practices.</li> </ul> | Yes              | Submitted complaints policy and procedure | Appendix 1 of the policy. Template developed to incorporate this requirement |

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|     |                                                                                                                                                                                   |     |                                                                            |                                                                              |
| 7.2 | Any remedy offered must reflect the impact on the resident because of any fault identified.                                                                                       | Yes | Submitted complaints policy and procedure                                  | Appendix 1 of the policy. Template developed to incorporate this requirement |
| 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 | Submitted complaints policy and procedure. Recorded on complaints register | Appendix 1 of the policy. Template developed to incorporate this requirement |
| 7.4 | Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.                                                                        | Yes | Submitted complaints policy and procedure                                  | Appendix 1 of the policy.                                                    |

## Section 8: Self-assessment, reporting and compliance.

| Code provision | Code requirement                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Comply: Yes / No | Evidence                                                    | Commentary / explanation                                                           |
|----------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|-------------------------------------------------------------|------------------------------------------------------------------------------------|
| 8.1            | <p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> <li>a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.</li> <li>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.</li> <li>c. any findings of non-compliance with this Code by the Ombudsman.</li> <li>d. the service improvements made because of the learning from complaints.</li> <li>e. any annual report about the landlord's performance from the Ombudsman; and</li> <li>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</li> </ul> | Yes              | Evidenced of compliance is via the YMCA East Surrey Website | <p>YMCA East Surrey link</p> <p><u><a href="#">Home - YMCA East Surrey</a></u></p> |

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| 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.                          |     |                                                                                                                                   |                                                                  |
| 8.3 | Landlords must also conduct a self-assessment following a significant restructure, merger and/or change in procedures.                                                                                                                                                                                               | Yes | Evidenced via the YMCA East Surrey Website                                                                                        | YMCA East Surrey link<br><a href="#">Home - YMCA East Surrey</a> |
| 8.4 | Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.                                                                                                                                                                                                                | Yes | The self-assessment is available via the YMCA East Surrey Website and can be viewed anytime                                       | YMCA East Surrey link<br><a href="#">Home - YMCA East Surrey</a> |
| 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<br>Landlords must provide a timescale for returning to compliance with the Code. | Yes | YMCA will fully comply with the code. The self-assessment is available via the YMCA East Surrey Website and can be viewed anytime | YMCA East Surrey link<br><a href="#">Home - YMCA East Surrey</a> |

## 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 because of any learning from the complaint.                                                                             | Yes              | YMCA East Surrey will fully comply                                                                                                                            | The Head of Housing can be contacted for any additional comments or information required |
| 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              | YMCA East Surrey will fully comply                                                                                                                            | The Head of Housing can be contacted for any additional comments or information required |
| 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              | YMCA East Surrey will fully comply                                                                                                                            | The Head of Housing can be contacted for any additional comments or information required |
| 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              | A suitably senior lead person has been appointed as accountable for their complaint handling.<br><br>Evidenced of compliance via the YMCA East Surrey Website | YMCA East Surrey link<br><a href="#">Home - YMCA East Surrey</a>                         |

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|     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |     |                                                                                                                                                                      |                                                                                    |
| 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 | <p>A suitably senior lead person has been appointed as accountable for their complaint handling.</p> <p>Evidenced of compliance via the YMCA East Surrey Website</p> | <p>YMCA East Surrey link</p> <p><a href="#"><u>Home - YMCA East Surrey</u></a></p> |
| 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 | <p>A suitably senior lead person has been appointed as accountable for their complaint handling.</p> <p>Evidenced of compliance via the YMCA East Surrey Website</p> | <p>YMCA East Surrey link</p> <p><a href="#"><u>Home - YMCA East Surrey</u></a></p> |
| 9.7 | <p>As a minimum, the MRC, and the governing body (or equivalent) must receive:</p> <p>a. regular updates on the volume, categories, and outcomes of complaints, alongside complaint handling performance.</p> <p>b. regular reviews of issues and trends arising from complaint handling.</p> <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> | Yes | <p>A suitably senior lead person has been appointed as accountable for their complaint handling.</p> <p>Evidenced of compliance via the YMCA East Surrey Website</p> | <p>YMCA East Surrey link</p> <p><a href="#"><u>Home - YMCA East Surrey</u></a></p> |

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|     | c. annual complaints performance and service improvement report.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |     |                                                                                                                                                                      |                                                                                    |
| 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. has a collaborative and co-operative approach towards resolving complaints, collaborating with colleagues across teams and departments.</p> <p>b. takes 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>A suitably senior lead person has been appointed as accountable for their complaint handling.</p> <p>Evidenced of compliance via the YMCA East Surrey Website</p> | <p>YMCA East Surrey link</p> <p><u><a href="#">Home - YMCA East Surrey</a></u></p> |