

Housing Ombudsman Service – complaint handling code – annual submission for year 2 (2025/2026)

This self-assessment form was completed by the Information Governance Team using the HOS online completion submission between May and September 2025 and published on the council's website in September 2025. It will be reviewed at least annually or sooner if required or appropriate to.

The last review was completed and published in December 2024.

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

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

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

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

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

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

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

Yes

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

By embedding and reinforcing the requirements from the complaint handling code, it has provided additional insight into our complaints handling activities which in turn allows more scope and opportunities to improve our

services and get it right first time for our tenants. including ensuring that we have understood and responded to the specific complaint and outcomes wanted by tenants

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

Yes

Please share any learning or changes you have made to ensure consistency in complaint handling.

By embedding and reinforcing the requirements from the complaint handling code, it has provided additional insight into the fairness of our consistency in complaints handling activities which in turn allows more scope and opportunities to improve our services and get it right first time for our tenants. We have also updated our acknowledgement to tenants to ensure that we have an improved way of evidencing that we have identified support needs and preferences.

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Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	<p>A complaint must be defined as:</p> <p><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></p>	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>	<p>Included in 4Cs and is published on council website.</p> <p>This includes the updated Housing Ombudsman Service timescales and stages</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
1.3	<p>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.</p>	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>	<p>Included in 4Cs and is published on council website.</p> <p>Covered in our internal awareness raising sessions</p> <p>Any new procurement or renew of existing contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>

1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be recorded, monitored and reviewed regularly.	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this.</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p> <p>Any new procurement or renewal of existing contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Identified improvements that can be made to the review and monitoring using random samples of logged cases which will be considered further as part of the transition into wider customer services.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
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1.5	A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains.	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
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	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Details about how to make a complaint are set out in Housing Services correspondence. This may include links to the 4Cs published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this requirement.</p>

	<p>wish to. Where landlords ask for wider feedback about their services, they also must provide details of how residents can complain.</p>		<p>Copy of required wording provided to service areas to go in all correspondence –</p> <p>You can find information about complaints, compliments, comments or concerns procedures at Raise a comment, compliment, complaint or concern – City of York Council</p> <p>Service area has provided evidence the above wording is included in email signatures.</p>	<p>Updated policy from recommendations made from the HOS review of our policy.</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases.</p> <p>Forward work plan includes to consider where it is appropriate to include this in other council services correspondence</p> <p>Any new procurement or renewal of existing contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
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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	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p> <p>Any new procurement or renew of existing contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>

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"> • The issue giving rise to the complaint occurred over twelve months ago. • Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court. • Matters that have previously been considered under the complaints policy. 	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p> <p>Any new procurement or renew of existing contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the	Y	https://www.york.gov.uk/4Cs	Included in 4Cs and is published on council website.

	<p>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>		https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p> <p>Any new procurement or renew of existing contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</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</p>	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p>

	agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.			<p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p> <p>Any new procurement or renew of existing contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p> <p>any new procurement or renew of existing contracted services, includes information</p>

				<p>about the council's expectations for complaint handling and reporting.</p> <p>Where the council is told about or where they have asked about vulnerabilities and/or support needs, this is recorded on the relevant case file or record.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
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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.	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p> <p>Any new procurement or renew of existing contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Where the council is told about or where they have asked about vulnerabilities and/or support needs, this is recorded on the relevant case file or record</p>

				<p>Reviewed and updated the online form</p> <p>Reviewed and updated the internal guidance on the council's intranet</p> <p>Work continues to include in the council's processes for equalities impact assessments</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
3.2	Residents must be able to raise their complaints in any way and with any member of staff. All staff must be aware of the complaints process and be able to pass details of the complaint to the appropriate person within the landlord.	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p> <p>Any new procurement or renew of existing contracted services, includes information</p>

				<p>about the council's expectations for complaint handling and reporting.</p> <p>Where the council is told about or where they have asked about vulnerabilities and/or support needs, this is recorded on the relevant case file or record</p> <p>Reviewed and updated the online form</p> <p>Reviewed and updated the internal guidance on the council's intranet</p> <p>Work continues to include in the council's processes for equalities impact assessments</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
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	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure https://www.york.gov.uk/contact-us/raise-comment-	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p>

	residents are unable to complain.		compliment-complaint-concern/4#complaintsreport	<p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p> <p>Included where appropriate in performance reports to Corporate Management Team, Scrutiny Committee and Audit and Governance Committee</p> <p>Regular meetings with the MRC and Director for:</p> <ul style="list-style-type: none"> • updates on the volume, categories and outcomes of complaints, alongside complaint handling performance • reviews of issues and trends arising from complaint handling • updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings <p>The annual complaints performance and service improvement report is received by MRC and Director and also Corporate Management Team, Scrutiny Committee and Audit and Governance Committee.</p>
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				As the date for submitting the self-assessment falls before the council's annual report for 2024/2025 has completed the approval process cycle, it will not be available on the council's website until it is due to go to Scrutiny Committee on 10 November 2025.
3.4	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the two stage process, what will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord's website.	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure Wording provided in complaint correspondence – Please let us know if you need any information in an accessible format and or would like support, e.g. an advocate, translator, larger print etc to help you with your complaint and I will be happy to discuss this with you	Included in 4Cs and is published on council website which meets the website accessibility requirements. Ongoing awareness sessions and training provided to service areas includes this Ongoing training, learning and development of complaint advisers includes these areas Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it. Any new procurement or renew of existing contracted services, includes information about the council's expectations for complaint handling and reporting.

				<p>Where the council is told about or where they have asked about vulnerabilities and/or support needs, this is recorded on the relevant case file or record</p> <p>Reviewed and updated the online form</p> <p>Reviewed and updated the internal guidance on the council's intranet</p> <p>Work continues to include in the council's processes for equalities impact assessments</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
3.5	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website which meets the website accessibility requirements.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has</p>

				<p>also been subject to an internal audit and follow up on the actions from it.</p> <p>Any new procurement or renewal of existing contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Reviewed and updated the internal guidance on the council's intranet</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any meeting with the landlord.	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p> <p>Wording provided in complaint correspondence – Please let us know if you need any information in an accessible format and or would like support, e.g. an advocate,</p>	<p>Included in 4Cs and is published on council website which meets the website accessibility requirements.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p>

			<p>translator, larger print etc to help you with your complaint and I will be happy to discuss this with you</p>	<p>Any new procurement or renew of existing contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Reviewed and updated the internal guidance on the council's intranet</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
3.7	Landlords must provide residents with information on their right to access the Ombudsman service and how the individual can engage with the Ombudsman about their complaint.	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>	<p>Included in 4Cs and is published on council website which meets the website accessibility requirements.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p> <p>Any new procurement or renew of existing contracted services, includes information</p>

				<p>about the council's expectations for complaint handling and reporting.</p> <p>Reviewed and updated the internal guidance on the council's intranet</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
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Section 4: Complaint Handling Staff

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
4.1	Landlords must have a person or team assigned to take responsibility for complaint handling, including liaison with the Ombudsman and ensuring complaints are reported to the governing body (or equivalent). This Code will refer to that person or team as the 'complaints officer'. This role may be in	Y	https://www.york.gov.uk/ServiceResponsibilities https://democracy.york.gov.uk/ieListMeetings.aspx?CId=437&Year=0 https://www.york.gov.uk/contact-us/raise-comment-compliment-complaint-concern/4#complaintsreport	This was the corporate governance team up to 1 September 2025 and from that date, it is Complaints, feedback and Compliance Team (CFTC and is included in the appropriate job descriptions

	addition to other duties.			
4.2	The complaints officer must have access to staff at all levels to facilitate the prompt resolution of complaints. They must also have the authority and autonomy to act to resolve disputes promptly and fairly.	Y	https://www.york.gov.uk/ServiceResponsibilities https://democracy.york.gov.uk/ieListMeetings.aspx?CId=437&Year=0 https://www.york.gov.uk/contact-us/raise-comment-compliment-complaint-concern/4#complaintsreport	<p>The corporate governance team and from 1 September 2025, the complaints, feedback and compliance teams including all complaints advisers, have access to all levels of staff to ensure the prompt resolution of complaints. They also have the authority and autonomy to resolve disputes promptly and fairly.</p> <p>This is included in job descriptions. Included where appropriate in performance reports to Corporate</p>

				Management Team, Scrutiny Committee and Audit and Governance Committee and to the MRC
4.3	Landlords are expected to prioritise complaint handling and a culture of learning from complaints. All relevant staff must be suitably trained in the importance of complaint handling. It is important that complaints are seen as a core service and must be resourced to handle complaints effectively	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure https://www.york.gov.uk/contact-us/raise-comment-compliment-complaint-concern/4#complaintsreport	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Included where appropriate in performance reports to Corporate Management Team, Scrutiny Committee</p>

				<p>and Audit and Governance Committee and MRC.</p> <p>Any new procurement or renew of existing contracted services, includes information about the council's expectations for complaint handling and reporting.</p>
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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.	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Any new procurement or renew of existing</p>

				<p>contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
5.2	<p>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.</p>	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes</p>

				<p>and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Identified improvements that can be made to the review and monitoring using random samples of logged cases which will be considered further as part of the transition into wider customer services.</p> <p>Any new procurement or renew of existing contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
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5.3	A process with more than two stages is not acceptable under any circumstances as this will make the complaint process unduly long and delay access to the Ombudsman.	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p> <p>Any new procurement or renew of existing contracted services, includes information about the council's expectations for</p>

				<p>complaint handling and reporting.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
5.4	<p>Where a landlord's complaint response is handled by a third party (e.g. a contractor or independent adjudicator) at any stage, it must form part of the two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes.</p>	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal</p>

				<p>audit and follow up on the actions from it.</p> <p>Any new procurement or renew of existing contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p>

				<p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p> <p>Any new procurement or renew of existing contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
5.6	When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training</p>

	<p>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.</p>			<p>provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Correspondence with complainants includes setting out understanding of their points of complaint and outcomes wanted. Where necessary, this will include clarifying any point(s) with the complainant</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Any new procurement or renew of existing</p>
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				<p>contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
5.7	When a complaint is acknowledged at either stage, landlords must be clear which aspects of the complaint they are, and are not, responsible for and clarify any areas where this is not clear.	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p> <p>Below wording is included in complaint acknowledgements at both stages (grades) –</p> <p>I would like to confirm receipt of your complaint. This will be dealt with at grade xxx of the corporate complaints procedure.</p> <p>My understanding of your complaint is that:</p> <ul style="list-style-type: none"> • <p>To resolve the complaint you would like:</p> <ul style="list-style-type: none"> • 	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Correspondence with complainants at either or both stages, sets out what parts of complaint we are responsible for</p>

			<p>If I have misunderstood any part of your complaint please contact me on the above number, the office is open 8.30am – 5.00pm Monday – Friday or email on haveyoursay@york.gov.uk</p>	<p>and those that we are not</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Any new procurement or renew of existing contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
5.8	At each stage of the complaints process, complaint handlers must:	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>	<p>Included in 4Cs and is published on council website.</p>

	<p>a. deal with complaints on their merits, act independently, and have an open mind;</p> <p>b. give the resident a fair chance to set out their position;</p> <p>c. take measures to address any actual or perceived conflict of interest; and</p> <p>d. consider all relevant information and evidence carefully.</p>			<p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p> <p>Any new procurement or renew of existing contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Updated policy from recommendations</p>
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				made from the HOS review of our policy.
5.9	Where a response to a complaint will fall outside the timescales set out in this Code, the landlord must agree with the resident suitable intervals for keeping them informed about their complaint.	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p> <p>Any new procurement or renew of existing contracted services, includes information</p>

				<p>about the council's expectations for complaint handling and reporting.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
5.10	Landlords must make reasonable adjustments for residents where appropriate under the Equality Act 2010. Landlords must keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review.	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal</p>

				<p>audit and follow up on the actions from it</p> <p>Review(s) of individual(s) requirements are done each case raised and communicated to them through acknowledgements, updates, and responses</p> <p>Any new procurement or renew of existing contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
5.11	Landlords must not refuse to escalate a complaint through all	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	Included in 4Cs and is published on council website.

	<p>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.</p>			<p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Communicated to complainants through acknowledgements, updates, and responses</p> <p>Any new procurement or renew of existing contracted services, includes information about the council's</p>
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				<p>expectations for complaint handling and reporting.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
5.12	<p>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.</p>			<p>Full records for each case are held in the corporate governance team case management system</p> <p>Each record type is only kept for the appropriate retention period</p> <p>Reports are also available and held in the council's "key performance indicator" system and where appropriate to, stored in the council's secure network</p> <p>Any new procurement or renew of existing contracted services,</p>

				includes information about the council's expectations for complaint handling and reporting.
5.13	Landlords must have processes in place to ensure a complaint can be remedied at any stage of its complaints process. Landlords must ensure appropriate remedies can be provided at any stage of the complaints process without the need for escalation.	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's remedy guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal</p>

				<p>audit and follow up on the actions from it</p> <p>Any new procurement or renew of existing contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
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	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p> <p>Managing Customer Relations Policy – City of York Council</p>	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p>

	place and must keep restrictions under regular review.			<p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Any new procurement or renew of existing contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Following consultation on a council wide managing customer relations policy the policy was approved by Corporate Management Team and is published on the council website. This reinforces the details set out in the complaint policy.</p>
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				Updated policy from recommendations made from the HOS review of our policy.
5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure Managing Customer Relations Policy – City of York Council	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes these areas</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Any new procurement or renew of existing</p>

				<p>contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Following consultation on a council wide managing customer relations policy the policy was approved by Corporate Management Team and is published on the council website. This reinforces the details set out in the complaint policy.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
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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	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and</p>

	provided to the resident.			<p>follow up on the actions from it</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <u>within five working days of the complaint being received.</u>	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance</p>

				<p>processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>	<p>Included in 4Cs and is published on council website. This has been updated to reflect this timescale more clearly.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with</p>

				<p>Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p> <p>Review of current performance data where at risk of going out of time for resolution and responses.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
6.4	Landlords must decide whether an extension to this timescale is needed when considering the	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training</p>

	<p>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.</p>			<p>provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Included where required and appropriate in correspondence and updates to resident</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Updated policy from recommendations</p>
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				made from the HOS review of our policy.
6.5	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website.</p> <p>It is included in the original acknowledgement with timescales.</p> <p>Where timescales change and need to be extended, ongoing training, learning and development of complaint advisers has been taking place to ensure contact details for the Ombudsman are included.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>

6.6	<p>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.</p>	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Updated policy from recommendations</p>
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				made from the HOS review of our policy.
6.7	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>

				Updated policy from recommendations made from the HOS review of our policy.
6.8	Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if they are related and the stage 1 response has not been issued. Where the stage 1 response has been issued, the new issues are unrelated to the issues already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and</p>

				<p>follow up on the actions from it</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
6.9	<p>Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language:</p> <ul style="list-style-type: none"> a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy 	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews</p>

	<p>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>			<p>of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Updated policy from recommendations made from the HOS review of our policy.</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.	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of</p>

				<p>complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
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	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p>

	request being received.			<p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
6.12	Residents must not be required to explain their reasons for requesting a stage 2	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training</p>

	consideration. Landlords are expected to make reasonable efforts to understand why a resident remains unhappy as part of its stage 2 response.			<p>provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
6.13	The person considering the complaint at stage 2 must not be the	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	Included in 4Cs and is published on council website.

	<p>same person that considered the complaint at stage 1.</p>			<p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
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6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Updated policy from recommendations</p>
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				made from the HOS review of our 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 20 working days without good reason, and the reason(s) must be clearly explained to the resident.	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>

				Updated policy from recommendations made from the HOS review of our policy.
6.16	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website.</p> <p>It is included in the original acknowledgement with timescales.</p> <p>Where timescales change and need to be extended, ongoing training, learning and development of complaint advisers has been taking place to ensure contact details for the Ombudsman are included.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>

6.17	<p>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.</p>	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Updated policy from recommendations</p>
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				made from the HOS review of our policy.
6.18	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>

				Updated policy from recommendations made from the HOS review of our policy.
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: <ol style="list-style-type: none"> the complaint stage; the complaint definition; the decision on the complaint; the reasons for any decisions made; the details of any remedy offered to put things right; details of any outstanding actions; and	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and</p>

	g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied .			<p>follow up on the actions from it</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance</p>

				<p>processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
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Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; • Taking action if there has been delay; • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; • Providing a financial remedy; 	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an</p>

	<ul style="list-style-type: none"> Changing policies, procedures or practices. 			<p>internal audit and follow up on the actions from it</p> <p>Any new procurement or renew of existing contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p> <p>An example of internal staff guidance –</p> <p>Guidance for Actions Following Complaints: Actions need to:</p>	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to</p>

			<ul style="list-style-type: none"> • Be proportionate to the errors and impact of any errors made and seek to put the person back into the position they would have been in prior to the error taking place. • Identify steps to improve services to avoid similar errors being repeated • Be SMART - Specific, Measurable, Achievable, Relevant, and Time-Bound 	<p>service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Any new procurement or renew of existing contracted services, includes information about the council's</p>
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				<p>expectations for complaint handling and reporting.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
7.3	<p>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.</p>	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p> <p>Example of wording included in internal staff guidance –</p> <p>Finally - Ensure tasks are added to the case to remind services for the evidence of actions being complete, changing the timescales and the number of reminders needed. Where evidence is not received, make managers aware.</p>	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p>

				<p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Any new procurement or renew of existing contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
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7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and</p>

				<p>follow up on the actions from it</p> <p>Any new procurement or renew of existing contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
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Section 8: Putting things right

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.	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure https://www.york.gov.uk/contact-us/raise-comment-compliment-complaint-concern/4#complaintsreport https://democracy.york.gov.uk/ieListDocuments.aspx?CId=1064&MId=14676	<p>Included in 4Cs and is published on council website.</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Monitoring and regular reviews</p>

	<p>b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept;</p> <p>c. any findings of non-compliance with this Code by the Ombudsman;</p> <p>d. the service improvements made as a result of the learning from complaints;</p>			<p>are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p> <p>Included where appropriate in performance reports to Corporate Management Team, Scrutiny Committee and Audit and Governance Committee</p> <p>As the date for submitting the self-assessment falls before the council's annual report for 2024/2025 has</p>
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	<p>e. any annual report about the landlord's performance from the Ombudsman; and</p> <p>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</p>			<p>completed the approval process cycle, it will not be available on the council's website until it is due to go to Scrutiny Committee on 10 November 2025.</p> <p>Any new procurement or renew of existing contracted services, includes information about the council's expectations for complaint handling and reporting.</p> <p>Provided to MRC, Director and Corporate Management Team, Scrutiny</p>
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				<p>Committee and Audit and Governance Committee.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
8.2	<p>The annual complaints performance and service improvement report must be reported to the landlord's governing body (or equivalent) and published on the on the section of its website relating to complaints. The</p>	Y	<p>https://www.york.gov.uk/contact-us/raise-comment-compliment-complaint-concern/4#complaintsreport</p> <p>https://democracy.york.gov.uk/ieListDocuments.aspx?CId=1064&MId=14676</p>	<p>Included where appropriate in performance reports to Corporate Management Team, Scrutiny Committee and Audit and Governance Committee</p> <p>As the date for submitting the self-assessment falls before the council's annual report for</p>

	governing body's response to the report must be published alongside this.			<p>2024/2025 has completed the approval process cycle, it will not be available on the council's website until it is due to go to Scrutiny Committee on 10 November 2025.</p> <p>Provided to MRC, Director and Corporate Management Team, Scrutiny Committee and Audit and Governance Committee.</p> <p>Updated policy from recommendations made from the HOS review of our policy.</p>
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8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Y	Included in planning and implementing process following a significant restructure, merger and/or change in procedures in the relevant service area.	The need to carry out a self-assessment following a significant restructure, merger and/or change in procedures, is included in any planning and implementing process for these.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Y	Included in the corporate governance team and complaints, feedback and compliance team from 1 September 2025, processes if a review and update is needed	The need to review and update the self-assessment following an Ombudsman investigation will be followed where the case investigation outcomes by the Ombudsman require us to do that.
8.5	If a landlord is unable to comply with the Code due	Y	Included in the corporate governance team and complaints, feedback and compliance team from 1 September 2025 processes	Forward work plan includes ensuring this requirement is

	<p>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</p> <p>Landlords must provide a timescale for returning to compliance with the Code.</p>			<p>set out explicitly in the required council service areas' business continuity and to update the content of the council website page with the below comments: -</p> <p>If we are unable to comply with the HOS (and LGSCO) Code due to exceptional circumstances, such as a cyber incident, we will inform the relevant Ombudsman, provide information to residents who may be affected, and publish these details on our website. This will include a</p>
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				timescale for returning to compliance with the Code.
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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.	Y	https://www.york.gov.uk/4Cs https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure https://www.york.gov.uk/contact-us/raise-comment-compliment-complaint-concern/4#complaintsreport https://democracy.york.gov.uk/ieListDocuments.aspx?CId=1064&MId=14676 Below wording is included in remedies guidance to staff and advisers: Identify steps to improve services to avoid similar errors being repeated	included in 4Cs and is published on council website. Ongoing awareness sessions and training provided to service areas includes this Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance

				<p>Included where appropriate in performance reports to Corporate Management Team, Scrutiny Committee and Audit and Governance Committee</p> <p>As the date for submitting the self-assessment falls before the council's annual report for 2024/2025 has completed the approval process cycle, it will not be available on the council's website until it is due to go to Scrutiny Committee on</p>
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				<p>10 November 2025.</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it.</p> <p>Included in the corporate governance team and complaints, feedback and compliance team from 1 September 2025, processes.</p>
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9.2	<p>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.</p>	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p> <p>https://www.york.gov.uk/contact-us/raise-comment-compliment-complaint-concern/4#complaintsreport</p> <p>https://democracy.york.gov.uk/ieListDocuments.aspx?CId=1064&MId=14676</p>	<p>included in 4Cs and is published on council website.</p> <p>Ongoing work done with housing managers and their quality assurance A team</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to</p>

				<p>date with Ombudsman's guidance</p> <p>Included where appropriate in performance reports to Corporate Management Team, Scrutiny Committee and Audit and Governance Committee</p> <p>As the date for submitting the self- assessment falls before the council's annual report for 2024/2025 has completed the approval process cycle, it will not be available on the council's</p>
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				<p>website until it is due to go to Scrutiny Committee on 10 November 2025.</p> <p>Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it</p>
9.3	Accountability and transparency are also integral to a positive complaint handling culture. Landlords must	Y	<p>https://www.york.gov.uk/4Cs</p> <p>https://www.york.gov.uk/downloads/download/11/complaints-concerns-comments-and-compliments-policy-and-procedure</p>	<p>included in 4Cs and is published on council website.</p> <p>Ongoing work done with</p>

	<p>report back on wider learning and improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees.</p>		<p>https://www.york.gov.uk/contact-us/raise-comment-compliment-complaint-concern/4#complaintsreport</p> <p>https://democracy.york.gov.uk/ieListDocuments.aspx?CId=1064&MId=14676</p>	<p>housing managers and their quality assurance A team</p> <p>Ongoing awareness sessions and training provided to service areas includes this</p> <p>Ongoing training, learning and development of complaint advisers includes ensuring up to date with Ombudsman's guidance</p> <p>Included where appropriate in performance reports to Corporate</p>
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				<p>Management Team, Scrutiny Committee and Audit and Governance Committee. Also, to tenants' panels and groups</p> <p>As the date for submitting the self-assessment falls before the council's annual report for 2024/2025 has completed the approval process cycle, it will not be available on the council's website until it is due to go to Scrutiny Committee on 10 November 2025.</p>
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				Monitoring and regular reviews are undertaken using our quality assurance processes and reviews of cases. This has also been subject to an internal audit and follow up on the actions from it
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	Y	This is included in the relevant job descriptions	The corporate governance team and from 1 September 2025 the complaints, feedback and compliance team managers, are the appointed lead for these points

	policies and procedures that require revision.			Included where appropriate in performance reports to Corporate Management Team, Scrutiny Committee and Audit and Governance Committee
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	Y	<p>This is the elected member with the portfolio for Housing, Planning and Safer Communities and the relevant Scrutiny Committees</p> <p>Corporate Management Team and Committees, which includes the annual complaints performance and service improvement report at the appropriate time in the reporting year.</p>	<p>Ongoing work and support to the appointed MRC including any training and information on the MRC role and its responsibilities, provided by the complaints manager(s)</p> <p>Ongoing progress monitoring of</p>

	Complaints ('the MRC').			<p>the MRC's detailed plan and actions.</p> <p>Ongoing review of the MRC's detailed plan to ensure it stays up to date and compliant with HOS guidance</p>
9.6	<p>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</p>	Y	<p>This is the elected member with the portfolio for Housing, Planning and Safer Communities and the relevant Scrutiny Committees</p> <p>Corporate Management Team and Committees, which includes the annual complaints performance and service improvement report at the appropriate time in the reporting year.</p>	<p>Setting up regular meetings and performance reports on an at least fortnightly basis.</p> <p>Ongoing progress monitoring of the MRC's detailed plan and actions.</p> <p>Ongoing review of the</p>

	report on their findings.			MRC's detailed plan to ensure it stays up to date and compliant with HOS guidance
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>	Y	<p>This is the elected member with the portfolio for Housing, Planning and Safer Communities and the relevant Scrutiny Committees</p> <p>Corporate Management Team and Committees, which includes the annual complaints performance and service improvement report at the appropriate time in the reporting year.</p> <p>annual-complaints-performance-and-service-improvements-report-april-2023-to-march-2024</p> <p>Raise a comment, compliment, complaint or concern – City of York Council</p> <p>Regular meetings set up with MRC, Director and CFTC manager to provide</p> <ul style="list-style-type: none"> • updates on the volume, categories and outcomes of complaints, alongside complaint handling performance • reviews of issues and trends arising from complaint handling 	<p>Setting up regular meetings and performance reports on an at least fortnightly basis.</p> <p>Ongoing progress monitoring of the MRC's detailed plan and actions.</p> <p>Ongoing review of the MRC's detailed plan to ensure it</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> <p>d. annual complaints performance and service improvement report.</p>		<ul style="list-style-type: none"> updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings <p>The MRC and Director as well as CMT receive the annual complaints performance and service improvement report</p>	<p>stays up to date and compliant with HOS guidance</p> <p>As the date for submitting the self-assessment falls before the council's annual report for 2024/2025 has completed the approval process cycle, it will not be available on the council's website until it is due to go to Scrutiny Committee on 10 November 2025.</p>
9.8	Landlords must have a standard objective in relation to complaint handling for all	Y		Ongoing work with managers in housing service areas and HR where appropriate, to

	<p>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</p>			<p>include these objectives and that they are consistently monitored</p> <p>Improvements are being developed in the council's internal key performance indicator tool to ensure these are included for all relevant staff</p> <p>Any new procurement or renew of existing contracted services, includes information about the council's expectations for objectives in relation to complaint</p>
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	set by any relevant professional body.			<p>handling and reporting.</p> <p>This is to be considered in the council's internal audit work programme planning.</p>
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