

## Housing Ombudsman Complaint Handling Code: Self-assessment form [December 2020]

Compliance with the Complaint Handling Code			
1	Definition of a complaint	Yes	No
	Does the complaints process use the following definition of a complaint?  <i>An expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the organisation, its own staff, or those acting on its behalf, affecting an individual resident or group of residents.</i>	✓	
	Does the policy have exclusions where a complaint will not be considered?	✓	
	Are these exclusions reasonable and fair to residents?  Evidence relied upon; <ul style="list-style-type: none"> <li>• The HOS code has been used as a guide</li> <li>• HOS determinations have also been used i.e. in cases being referred to the FTT or cases considered outside of the HOS jurisdiction</li> <li>• Resident scrutiny i.e. Customer Advisory Panel</li> </ul>	✓	
<b>2</b>	<b>Accessibility</b>		
	Are multiple accessibility routes available for residents to make a complaint?	✓	
	Is the complaints policy and procedure available online? <ul style="list-style-type: none"> <li>• The complaints policy will be online for customers</li> </ul>	✓	
	Do we have a reasonable adjustments policy? <ul style="list-style-type: none"> <li>• We have a Vulnerable Policy and this will be looked at to incorporate reasonable adjustments, which is specific to disabled customers and links to the Equality Act 2010.</li> </ul>		✓
	Do we regularly advise residents about our complaints process?	✓	
<b>3</b>	<b>Complaints team and process</b>		
	Is there a complaint officer or equivalent in post? <ul style="list-style-type: none"> <li>• There is a dedicated complaints &amp; resolution service/team.</li> </ul>	✓	
	Does the complaint officer have autonomy to resolve complaints?	✓	
	Does the complaint officer have authority to compel engagement from other departments to resolve disputes?	✓	
	If there is a third stage to the complaints procedure are residents involved in the decision making?		✓
	Is any third stage optional for residents?		✓
	Does the final stage response set out residents' right to refer the matter to the Housing Ombudsman Service?	✓	
	Do we keep a record of complaint correspondence including correspondence from the resident?	✓	
	At what stage are most complaints resolved?	Stage 1	
<b>4</b>	<b>Communication</b>		
	Are residents kept informed and updated during the complaints process?	✓	
	Are residents informed of the landlord's position and given a chance to respond and challenge any area of dispute before the final decision?	✓	
	Are all complaints acknowledged and logged within five days?	✓	
	Are residents advised of how to escalate at the end of each stage?	✓	
	What proportion of complaints are resolved at stage one?	90-95%	

	What proportion of complaints are resolved at stage two?	98%	
	<p>What proportion of complaint responses are sent within Code timescales?</p> <ul style="list-style-type: none"> <li>• Stage one Stage one (with extension)</li> <li>• Stage two Stage two (with extension)</li> </ul> <p><i>*for complaints received from 5<sup>th</sup> October 2020</i></p>	<p>*91% *9% *82% *18%</p>	
	Where timescales have been extended did we have good reason?	✓	
	Where timescales have been extended did we keep the resident informed?	✓	
	<p>What proportion of complaints do we resolve to residents' satisfaction</p> <p><i>*This figure is before adherence to the new code, which is yet to be measured. New code customer satisfaction will be measured from January 2021.</i></p>	*85%	
<b>5</b>	<b>Cooperation with Housing Ombudsman Service</b>		
	Were all requests for evidence responded to within 15 days?		✓
	Where the timescale was extended did we keep the Ombudsman informed?	✓	
<b>6</b>	<b>Fairness in complaint handling</b>		
	Are residents able to complain via a representative throughout?	✓	
	If advice was given, was this accurate and easy to understand?	✓	
	<p>How many cases did we refuse to escalate?</p> <p>What was the reason for the refusal?</p>		<p>2</p> <p>Non-residents</p>
	Did we explain our decision to the resident?	✓	
<b>7</b>	<b>Outcomes and remedies</b>		
	Where something has gone wrong are we taking appropriate steps to put things right?	✓	
<b>8</b>	<b>Continuous learning and improvement</b>		
	<p>What improvements have we made as a result of learning from complaints?</p> <p><i>We have yet to measure this as the Group introduced the new complaints process to adhere with the new code requirements from 05 October 2020.</i></p> <p><i>There are a number of lessons that can be cited from previous complaint recording including;</i></p> <ul style="list-style-type: none"> <li>• <i>Refreshing our approach to new homes delivery and driving up customer satisfaction (measure by Net Promoter), as customer move into their new homes, across the leaseholder and shared owner groups.</i></li> <li>• <i>Focus on priority buildings (blocks and schemes) where repair cancellations have been reduced by 37% and improvements made in a number of areas.</i></li> <li>• <i>Trialling of electronic noticeboards and handyman services in these schemes to improve information flows and prompt resolution of communal fixes.</i></li> <li>• <i>Using Data and insight to identify priority neighbourhoods for our Great Places to Liv initiative, where additional improvement funds have been made available to residents.</i></li> </ul>		
	<p>How do we share these lessons with:</p> <p>a) residents? – ‘you said, we did’ campaigns describing improvements made as a result of insights and complaints, delivered internally through the intranet, externally via the internet and incorporated into the customer annual report and articles in Home magazine.</p> <p>b) the board/governing body? – minimum half yearly specific Group Board reporting and quarterly reporting into the Customer Advisory Panel for oversight and scrutiny, which is also fed into Group Board.</p>		

	<p><i>c) In the Annual Report? – Performance is featured in the annual report and the annual customer report. KPIs focus on performance and % resolved at stage 1 and 2 and % of complaints escalated to the HOS.</i></p>		
	<p>Has the Code made a difference to how we respond to complaints?</p>	<p>✓</p>	
	<p>What changes have we made?</p> <p><i>We have completely overhauled the service with effect from the 05 October 2020 to align with the code and have updated our complaint policy, procedure and compensation policy.</i></p>		