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| **Compliance area** | | **Yes** | **No** | **Comments** |
| **1. Definition of a complaint** | Does the complaint process use the following definition of a complaint?  ‘An expression of dissatisfactions, 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’ | **Yes** |  | We have changed our existing complaints policy and future policy reviews will include this update too. |
| **Does the policy have exclusions where a complaint will not be considered?** |  | **Yes** |  |  |
|  | Are these exclusions reasonable and fair to residents?  Evidence relied upon |  |  | N/A |
|  |  |  |  |  |
| **2. Accessibility** | Are multiple accessibility routes available for residents to make a complaint? | **Yes** |  | Customers are able to make complaints via emails, telephone, website, My Rosebery (resident portal) and face to face with staff |
|  | Do we have a reasonable adjustments policy? | **Yes** |  |  |
|  | Do we regularly advise residents about our complaints process? | **Yes** |  | We publish an annual, quarterly complaints handling and performance reports, including periodic articles in our residents’ newsletters and social media channels |
| **Compliance area** | | **Yes** | **No** | **Comments** |
| **3. Complaints team and process** | Is there a complaint officer or equivalent in post? | **Yes** |  | In September 2019, we aligned a role within the CX team, so one staff member takes the lead to investigate complaints. This is currently an informal arrangement, subject to review. We need to consider how this will now be a formalised into T&C and update their JD |
|  | Does the complaint officer have autonomy to resolve complaints? | **Yes** |  |  |
|  | Does the complaint officer have authority to compel engagement from other departments to resolve disputes? | **Yes** |  |  |
|  | If there is a third stage to the complaint’s procedure are residents involved in the decision making? | **No** |  | We only have a two-stage complaints process. |
|  | Is any third stage optional for residents? |  | **No** |  |
|  | Does the final stage response set out residents’ right to refer the matter to the Housing Ombudsman Service? | **Yes** |  |  |
|  | Do we keep a record of complaint correspondence including correspondence from the resident? | **Yes** |  | We have a dedicated complaint monitoring database, where all relevant details relating to complaints investigations are kept. |
|  | At what stage are most complaints resolved? |  |  | The majority of complaints are resolved at stage 1 |

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| **Compliance area** | | **Yes** | **No** | **Comments** |
| **4. Communications** | Are residents kept informed and updated during the complaints process? | **Yes** |  |  |
|  | Are residents informed of the landlord’s position and given a chance to respond and challenge any area of dispute before the final decision? | **Yes** |  | In July 2018, we updated our policy and specifically added that complaints must be contacted within three working days of acknowledgement of their complaints to clarity the cause of their complaint and agree possible options for resolution. |
|  | Are all complaints acknowledged and logged within five days? | **Yes** |  | All complaints are logged and acknowledged within two working days |
|  | Are residents advised of how to escalate at the end of each stage? | **Yes** |  |  |
|  | What proportion of complaints are resolved at stage one? |  |  | **81.02%** |
|  | What proportion of complaints are resolved at stage two? |  |  | **100%** |
|  | What proportion of complaint responses are sent within Code timescales?   * Stage one   Stage one (with extension)   * Stage two   Stage two (with extension) |  |  | Stage 1 (on time) = 56.04%  Stage 1 (with extension) = 53.57%  Stage 2 (on time) = 95.24%  Stage 2 (with extension) = 42.85% |
|  | Where timescales have been extended did, we have good reason? | **Yes** |  |  |
|  | Where timescales have been extended did, we keep the resident informed? | **Yes** |  | In all cases, extension of time was agreed with the complainant and a ‘holding’ written response was sent. |
|  | What proportion of complaints do we resolve to residents’ satisfaction |  | **N0** | This information is currently not known. We have a relatively low level of complaints, in all cases that are closed we sent out a customer satisfaction survey. Responses have been very poor; we are currently in the process of reviewing how we can collect this information to improve response rate. |
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| **5. Co-operation with Housing Ombudsman Service** | Were all requests for evidence responded to within 15 days? | **Yes** |  |  |
|  | Where the timescale was extended did, we keep the Ombudsman informed? |  |  | N/A |
|  |  |  |  |  |
| **6. Fairness in complaint handling** | Are residents able to complain via a representative throughout? | **Yes** |  |  |
|  | If advice was given, was this accurate and easy to understand? | **Yes** |  | All complaints and/or their representatives are provided with an information guide about our complaints process when their complaint is acknowledged |
|  | How many cases did we refuse to escalate?  What was the reason for the refusal? |  |  | During 2019/20, which is the accounting period that we have based our self-assessment on, no case was refused escalation |
|  | Did we explain our decision to the resident? |  |  | N/A |

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| **Compliance area** | | **Yes** | **No** | **Comments** |
| **7. Outcomes and remedies** | Where something has gone wrong are, we are taking appropriate steps to put things right? | **Yes** |  | All upheld cases are independently reviewed by the Housing Leadership Team, at bi-monthly meetings, to review lessons learnt |
|  |  |  |  |  |
| **8. Continuous learning and improvement** | What improvements have we made as a result of learning from complaints? |  |  | In 2018, we wanted to improve the speed of complaint resolutions, so we introduced ‘Expressions of dissatisfactions as an informal route (stage zero) to deal with service failures. If the issue cannot be resolved or an action plan agreed within 5 working days, with the complainant. The case is then escalated to stage 1.  This has proved to be very successful of the 19 EOD’s that were logged during 2019/20, 95.24%, were responded to within timescale and only 1 was escalated to a formal complaint. |
|  | How do we share these lessons with?   1. residents? 2. the board/governing body? 3. In the Annual Report? |  |  | * Annual, quarterly complaint reports,  newsletters and social media channels * Quarterly customer engagement and annual reports * VFM statement and Annual reports |
|  | Has the Code made a difference to how we respond to complaints? | **Yes** |  | Partly, as it offered us the opportunity to access our processes and performance against the new Code and use the self-assessment. However, this process was undertaken in May 2019, by our Virtual Scrutiny panel (VSP) when they carried out an investigation of our customer complaints process and offered a number of service improvement recommendations which have been reflected in the Code. |
|  | What changes have we made? |  |  | We have introduced the following changes into our complaints service:   * Annual complaints reports * Quarterly complaints performance reports * Stage zero – EOD’s * Digital surveys for customer satisfaction surveys * Nominated resource to lead on complaints resolution * Periodic newsletters “You said, we did” * Set up a new resident’s ‘Sounding Board’ |
|  |  |  |  |  |