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| **Self Assessment Form – date completed 30/07/2020 SARH** | | | |
| **Compliance with the Complaint Handling Code** | | | |
| 1 | **Definition of a complaint** | **Yes** | **No** |
|  | Does the complaints process use the following definition of a complaint?  *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*. | Yes |  |
| The HPG complaint definition is  *An expression of concern or dissatisfaction, however made, either verbally or in writing about the standards of service, actions or lack of actions affecting an individual customer or group of customers* |
|  | Does the policy have exclusions where a complaint will not be considered? | Yes |  |
|  | Are these exclusions reasonable and fair to residents? | yes |  |
| Evidence relied upon   1. There is an alternative route for redress e.g. alternative policy that should be used 2. Not in SARH jurisdiction 3. Where a complaint has already exhausted the complaints process they can contact the Housing Ombudsman Service. |
| 2 | **Accessibility** |  |  |
|  | Are multiple accessibility routes available for residents to make a complaint? | Yes |  |
| Complaints can be made via phone, face to face, email to customer services or letter.  Complaints can also be made via an advocate providing we have an authority to act. |
|  | Is the complaints policy and procedure available online? | Yes |  |
|  | Do we have a reasonable adjustments policy? |  | No |
|  | Do we regularly advise residents about our complaints process? |  | No |
| 3 | **Complaints team and process** |  |  |
|  | Is there a complaint officer or equivalent in post? |  | No |
| Complaints are logged by Customer Services who allocate the complaint to a service manager to investigate. There is no single point of contact other than an email address overseen by 2 customer service advisors. |
|  | Does the complaint officer have autonomy to resolve complaints?  . |  | No |
| Complaint investigation lies with the service line to investigate and resolve at all levels. |
|  | Does the complaint officer have authority to compel engagement from other departments to resolve disputes? |  | No |
| There is no complaint officer in post. |
|  | If there is a third stage to the complaints procedure are residents involved in the decision making? |  | No |
| The third stage is called stage 2 (because the first stage is called stage 0) and is made up of a panel consisting of the CEO and 2 board members. |
|  | Is any third stage optional for residents? |  | No |
| The third stage is not optional for a resident if they wish to exhaust the complaints process, however a Director decides whether or not a complaint should go to a panel although this is not in the policy/procedure |
|  | 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 incusing correspondence from the resident? | Yes |  |
|  | At what stage are most complaints resolved? | Stage 0 |  |
| 4 | **Communication** |  |  |
|  | Are residents kept informed and updated during the complaints process? |  | No |
| It is down to the service investigating the complaint to ensure that customers are kept updated of their complaint and any subsequent remedy. There is no evidence of any holding letters being sent to the customer |
|  | 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 |  |
| The investigating officer will liaise with the customer to get their position on the complaint and then send their response. The customer has the opportunity to escalate this to a stage 1 or 2 if they are dissatisfied. |
|  | Are all complaints acknowledged and logged within five days?  Stage 0 complaints are not acknowledged.  Our complaints policy is to acknowledge a formal stage 1 complaint within 1 working day. There are occasions where we go over this by a day but acknowledge within 5 working days |  | No |
|  | Are residents advised of how to escalate at the end of each stage? |  | No |
| Stage 0 complaint do not have a standard response template so residents are not always told how to escalate a complaint. If a response is done over the phone there is the expectation that residents are told but there is no evidence this is happening.  This information is provided at Stage 1 and 2 |
|  | What proportion of complaints are resolved at stage one? | 93% S0 and 91.66% at S1 |  |
| At end of 2019/20 93% of complaints were resolved at stage 0 and 91.66% at stage 1 |
|  | What proportion of complaints are resolved at stage two? | 100% |  |
| At end of 2019/20 100% of complaints were resolved at stage 2 as 0 escalated to HOS |
|  | What proportion of complaint responses are sent within Code timescales?  • Stage one  Stage one (with extension)  • Stage two  Stage two (with extension) |  | Not recorded |
| The policy does not have published timescales to respond to complaints other than for stage 0 which is 1 working day. This is not currently measured. We do know that at end of Q1 2020/21 48% of stage 0 complaints were answered in 1 working day. |
|  | Where timescales have been extended, did we have good reason? |  | No |
| As no timescales are published there is no extension. Investigating Officers should contact the customer on receipt of the complaint and negotiate a response target date. There is no record of any extensions being provided |
|  | Where timescales have been extended did, we keep the resident informed? |  | N/A |
| No timescales are extended and no evidence of holding letters being sent |
|  | What proportion of complaints do we resolve to residents’  satisfaction? |  | Not known |
| There are no customer satisfaction surveys carried out so we cannot measure this. |
| 5 | **Cooperation with Housing Ombudsman Service** |  |  |
|  | Were all requests for evidence responded to within 15 days? |  | No |
|  | Where the timescale was extended did we keep the Ombudsman informed? | Yes |  |
| 6 | **Fairness in complaint handling** |  |  |
|  | Are residents able to complain via a representative throughout? | Yes |  |
| An authority to act is required |
|  | If advice was given, was this accurate and easy to understand? | Yes |  |
| In June 2020, we carried out a survey of customers who have completed the complaints process in the last 12 months. We asked them “Was it clear from the information provided, the different ways to make a complaint?”  64% SARH customer said it was clear/fairly clear |
|  | How many cases did we refuse to escalate?  What was the reason for the refusal? |  | Not known |
| The number of complaints we refused to escalate is not known as no record of refusals are kept. |
|  | Did we explain our decision to the resident? | Yes |  |
| Where a customer requests to escalate to stage 2, a Director will review the complaint to see if there is any new evidence and if not then a letter is sent to the customer. There is no record on the log of how many cases this has happened for. |
| 7 | **Outcomes and remedies** |  |  |
|  | Where something has gone wrong are we taking appropriate steps to put things right? | Yes |  |
| Remedies are offered as part of the complaint response this is not monitored to closure. Complaints are closed once the response is sent. |
| 8 | **Continuous learning and improvement** |  |  |
|  | What improvements have we made as a result of learning from complaints? |  | none |
| There is no record of any service improvements or learning from complaints  . |
|  | How do we share these lessons with?   1. Residents? 2. The board/governing body? 3. In the annual report? |  | no |
| There is no record of any service improvements or lessons learned from complaints |
|  | Has the code made a difference to how we respond to complaints? | Yes |  |
|  | What changes have we made?  We have produced a new complaints policy that was approved at Board in November 2020 to go live on 1 April 2021. This is a group wide policy for SSHA, Severnside and SARH and include the changes brought about by the Housing Ombudsman code which include:   * A two stage process * The universal definition of a complaint * Revised timescales to respond to a complaint * Extension reasons * Reasonable exclusions * How we deal with Unreasonable Behaviour   We are working with services to implement action plans to ensure we meet the response timescales and capture learning from complaints. |  |  |