### Complaints self-assessment form

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| **Compliance with the Complaint Handling Code**  | **Comments/Actions** |
| **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*.   |  **x** |  | Hastoe’s Complaints Policy has been updated to include this wording. |
|  | Does the policy have exclusions where a complaint will not be considered?  |  **x** |  | The following areas fall outside the scope of the complaints policy:* A first request for service, such as a repair.
* Challenges to service charge or rent setting. Although complaints about the quality of estate services are managed under this policy.
* Neighbour disputes or antisocial behaviour, unless the complaint is in relation to how Hastoe has managed this issue.
* Complaints relating to services where the policy for the area of service has been applied correctly.
* In situations where legal action has been commenced either by Hastoe or against Hastoe.
* Situations where a claim is being dealt with by Hastoe’s insurers.
* Complaints about data breaches.

Where a complaint is made about an issue that arose more than 6 months prior to the complaint being made, Hastoe will not ordinarily investigate these as a complaint.  |
|  | Are these exclusions reasonable and fair to residents?  Evidence relied upon     |  **x** |  | These matters are dealt with using different policies/processes. Where a complaint is made and this relates to the application of existing policy, an investigation as to whether that policy has been applied correctly will often be undertaken as part of a stage 1 complaint.If legal action has already commenced then dealing with the issue as part of the complaints process may impact on the formal legal process. We would not normally investigate an issue that arose prior to 6 months before the complaint is made. However, we will consider older issues as part of the background to the complaint. |
| **2**  | **Accessibility**  |  |  |  |
|  | Are multiple accessibility routes available for residents to make a complaint?  |  **x** |  | A complaint can be made to Hastoe by:* Telephone
* Face to face
* Text Message
* The Hastoe website or MyHastoe portal
* In writing by letter, email or by completing a complaints form
* A third party such as an MP, Councillor, advocate, friend or family member. Although the complainant will have to give permission in most circumstances.
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|  | Is the complaints policy and procedure available online?  |  **x** |  | The detail of our complaints policy and the way in which we manage complaints is on our website:<https://www.hastoe.com/about-us/policies/complaints-policy/> |
|  | Do we have a reasonable adjustments policy?  |  | **x**  | However, our complaints policy has been amended to ensure that reasonable adjustments are made. |
|  | Do we regularly advise residents about our complaints process?  |  **x** |  | We publish articles in our Residents’ magazine, include information on complaints in the Tenant Annual Report and customers are advised by staff on our complaints process as appropriate.  |
| **3**  | **Complaints team and process**  |  |  |  |
|  | Is there a complaint officer or equivalent in post?  |  |  **x** | All managers responsible for delivering services to customers have responsibilities to investigate and resolve customer complaints.  |
|  | Does the complaint officer have autonomy to resolve complaints? |  **x** |  | All managers who investigate complaints have the autonomy to resolve the complaint and award compensation if necessary.Authorisation for some resolutions may require approval from a more senior manager should this resolution sit outside of our normal policies and procedures or, in the case of compensation, the level offered may need to be approved by a more senior manager. |
|  | Does the complaint officer have authority to compel engagement from other departments to resolve disputes?  | **x**  |  | We operate a joined up approach in the resolution of complaints, with other departments engaging with the lead complaint manager.  |
|  | If there is a third stage to the complaints procedure are residents involved in the decision making?  |  |  | Not applicable. There is no third stage in our complaints process. |
|  | Is any third stage optional for residents?  |  |  | Not applicable. There is no third stage in our complaints process. |
|  | Does the final stage response set out residents’ right to refer the matter to the Housing Ombudsman Service?  |  **x** |  | Residents are referred to our website where the detail of the Housing Ombudsman Service is included, but we will update our final letter to include the same information. |
|  | Do we keep a record of complaint correspondence including correspondence from the resident?  |  **x** |  | All resident correspondence is uploaded on to our document management repository. |
|  | At what stage are most complaints resolved?      |  |  | Stage 1 |
| **4**  | **Communication**  |  |  |  |
|  | Are residents kept informed and updated during the complaints process?  |  **x** |  | A key part of our complaints policy is keeping in contact with the resident throughout the process. We try to telephone and discuss the issue with the resident throughout the process unless the resident would prefer written communication only. |

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|  | Are residents informed of the landlord’s position and given a chance to respond and challenge any area of dispute before the final decision?  |  **x** |  | Residents are given 21 calendar days to respond to both complaint stages and consideration to the customer’s challenge is always made before either escalating to the next stage or closing the complaint at the final stage. |
|  | Are all complaints acknowledged and logged within five days?  |  **x** |  | Complaints are logged and acknowledged within 2 working days. |
|  | Are residents advised of how to escalate at the end of each stage?  |  **x** |  |  |
|  | What proportion of complaints are resolved at stage one?  |  |  | 84% from 1st April 20 – 30 September 20 |
|  | What proportion of complaints are resolved at stage two?  |  |  | 16% from 1st April 20 – 30 September 20 |
|  | What proportion of complaint responses are sent within Code timescales?  * Stage one

Stage one (with extension) * Stage two

Stage two (with extension)   |  |  | Stage 1 (includes where an extension has been agreed with the complainant) – 1 April 20 – 30 June 20 – 100% 1 July 20 – 30 September 20 – 75%Within our policy timescales of 14 calendar days.This timescale has been amended to 10 working days to ensure compliance with the Housing Ombudsman Complaint Handling Code. Stage 2 (includes where an extension has been agreed with the complainant) – 100% for the period 1 April 20 – 30 September 20.Within our policy timescales of 21 calendar days.This timescale has been amended to 20 working days to ensure compliance with the Housing Ombudsman Complaint Handling Code.  |
|  | Where timescales have been extended did we have good reason?  |  **x** |  | These happen for a variety of reasons including, information required from a third party organisation to investigate the complaint fully, the issues being complex in nature, absence of the complaint manager due to leave or other periods of absence. |
|  | Where timescales have been extended did we keep the resident informed?  |  **x** |  | The customer is advised of the requirement to extend the timescale as part of our complaints management process.  |
|  | What proportion of complaints do we resolve to residents’ satisfaction  |  |  | A customer satisfaction survey will be introduced in early 2021 in order to effectively measure satisfaction with our complaints process. |
| **5**  | **Cooperation with Housing Ombudsman Service**  |  |  |  |
|  | Were all requests for evidence responded to within 15 days?  |  **x** |  |  |
|  | Where the timescale was extended did we keep the Ombudsman informed?  |  |  |  |
| **6**  | **Fairness in complaint handling**  |  |  |  |
|  | Are residents able to complain via a representative throughout?  |  **x** |  |  |
|  | If advice was given, was this accurate and easy to understand?  |  **x** |  |  |
|  | How many cases did we refuse to escalate?   What was the reason for the refusal?     |  |  | We refused to escalate one case as the requested resolution from the customer would have forced us to breach procurement rules in order to select her preferred contractor to undertake grounds maintenance. |
|  | Did we explain our decision to the resident?  |  **x** |  | This was included in the final response at each stage of the complaint. |
| **7**  | **Outcomes and remedies**  |  |  |  |
|  | Where something has gone wrong are we taking appropriate steps to put things right?  | **x**  |  | In addition to resolving the issue for the individual resident who has had cause to complain, we focus on a lessons learned approach and look to implement wider service improvements where this appropriate. |
| **8**  | **Continuous learning and improvement**  |  |  |  |
|  | What improvements have we made as a result of learning from complaints?     |  |  | * Made amendments to the housing management software system to enable customer calls to be more easily tracked.
* Introduced one method of logging customer contact in the housing management software system.
* Updated our ASB policy, introduced peer reviews of cases and put in place refresher training for staff.
* A contractor introduced random sample checks to ensure that operatives where using required PPE.
* A change to estate inspection forms that records overall condition rather than just issue reporting.
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|  | How do we share these lessons with:  a) residents?  |  **x** |  | 1. Contained within the Annual Report and articles in our resident magazine
 |
|  |  1. the board/governing body?

 1. In the Annual Report?

    | **x** |  | 1. Contained within a complaints monitoring report which is reviewed by the Board on a quarterly basis.
2. Complaints have reported in the Annual Report and further details are contained within the residents magazine, which is the vehicle used to publish the Annual Report.
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|  | Has the Code made a difference to how we respond to complaints?  |  **x** |  |  |
|  | What changes have we made?  |  |  | We will make updates to our letters and wording within the policy and introduce a satisfaction survey at the end of our complaints process.We have changed the response timescales to reflect those in the code. |