

Self-assessment form December 2020

Compliance with the Complaint Handling Code				
1	Definition of a complaint	Yes	Evidence	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>	✓	<ul style="list-style-type: none"> <li>Clearly stated in the Complaints – Housing and Support Policy and Procedure (2020)</li> </ul>	
	Does the policy have exclusions where a complaint will not be considered?	✓	<ul style="list-style-type: none"> <li>Clearly stated in the Complaints – Housing and Support Policy and Procedure (2020)</li> </ul>	
	Are these exclusions reasonable and fair to residents?	✓	<ul style="list-style-type: none"> <li>Exclusions included in the Policy are in line with Housing Ombudsman best practice in that those relating to incidents more than six months previously and/or those that relate to legal process will not be recorded as complaints.</li> <li>Feedback from the National Residents' Scrutiny Panel confirms that they are satisfied that the wording is fair and appropriate.</li> </ul>	
<b>2</b>	<b>Accessibility</b>			
	Are multiple accessibility routes available for residents to make a complaint?	✓	<ul style="list-style-type: none"> <li>Clearly stated in the Complaints – Housing and Support Policy and Procedure (2020)</li> </ul>	
	Is the complaints policy and procedure available online?	✓	<ul style="list-style-type: none"> <li>Relevant information is available under the 'complaints and criticisms' tab on the Sanctuary Housing website.</li> </ul>	
	Do we have a reasonable adjustments policy?	✓	<ul style="list-style-type: none"> <li>Additional Guidance 03 appended to the Complaints – Housing and Support Policy and Procedure details how reasonable adjustments will be implemented.</li> </ul>	

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	Do we regularly advise residents about our complaints process?	✓	<ul style="list-style-type: none"> <li>Information is made available through the website</li> <li>Customers are referred to the process where they express dissatisfaction to ensure they are aware of their right to raise a complaint.</li> </ul>	
<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>The Case Resolution Department is led by the Head of Case Resolution and is responsible for the delivery of the complaints service.</li> </ul>	
	Does the complaint officer have autonomy to resolve complaints?	✓	<ul style="list-style-type: none"> <li>This is noted in the role profile for the Head of Case Resolution and is clarified in the Complaints – Housing and Support Policy and Procedure.</li> </ul>	
	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?	N/A	<ul style="list-style-type: none"> <li>In line with Housing Ombudsman best practice, the Complaints – Housing and Support Complaints Policy has two stages only.</li> </ul>	
	Is any third stage optional for residents?	N/A		
	Does the final stage response set out residents' right to refer the matter to the Housing Ombudsman Service?	✓	<ul style="list-style-type: none"> <li>This is included in all template documents for staff;</li> <li>This is noted in the Responding to Complaints Self-learning course made available to all staff.</li> </ul>	
	Do we keep a record of complaint correspondence including correspondence from the resident?	✓	<ul style="list-style-type: none"> <li>All information is held against the customer account with care being taken to protect any personal or sensitive information.</li> <li>Internally, officers hold complaint case information on a Sanctuary shared drive with suitably restricted access.</li> </ul>	
	At what stage are most complaints resolved?	Stage 1	<ul style="list-style-type: none"> <li>Year to Date in 2020/2021, 84% of complaints are responded to and closed at the first stage of the complaints process.</li> </ul>	

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<b>4</b>	<b>Communication</b>			
	Are residents kept informed and updated during the complaints process?	✓	<ul style="list-style-type: none"> <li>Expectations relating to communication are set out in the Complaints – Housing and Support Policy and Procedure.</li> </ul>	
	Are residents informed of the landlord's position and given a chance to respond and challenge any area of dispute before the final decision?	✓	<ul style="list-style-type: none"> <li>Sanctuary operates a two stage process with a discussion held with complainants at the point of escalation to clarify why they remain unhappy, what they are looking for to resolve the complaint and to provide any additional evidence to support their complaint.</li> </ul>	
	Are all complaints acknowledged and logged within five days?	✓	<ul style="list-style-type: none"> <li>On average all complaints are acknowledged within 2 working days</li> </ul>	
	Are residents advised of how to escalate at the end of each stage?	✓	<ul style="list-style-type: none"> <li>Template documents confirm the details of escalation</li> <li>The Complaints – Housing and Support Policy and Procedure clarifies that this must form part of each response</li> <li>This is noted in the Responding to Complaints Self-learning course made available to all staff.</li> </ul>	
	What proportion of complaints are resolved at stage one?	84%		
	What proportion of complaints are resolved at stage two?	16%		
	What proportion of complaint responses are sent within Code timescales?	95%	<ul style="list-style-type: none"> <li>Year to date, 89% of complaints are responded to within Code timescales.</li> </ul>	
	Where timescales have been extended did we have good reason?	✓	<ul style="list-style-type: none"> <li>Clarification on these points is noted in the Complaints – Housing and Support Policy and Procedure.</li> </ul>	
	Where timescales have been extended did we keep the resident informed?	✓		

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	What proportion of complaints do we resolve to residents' satisfaction	87%	<ul style="list-style-type: none"> <li>A new feedback form was implemented in July 2019</li> <li>Due to low response rates, at statistically valid percentage is not currently available year to date therefore the 87% refers to all forms returned since 2019.</li> </ul>
<b>5</b>	<b>Cooperation with Housing Ombudsman Service</b>		
	Were all requests for evidence responded to within 15 days?	✓	<ul style="list-style-type: none"> <li>All enquiries have been delivered within timescales as set out by the Housing Ombudsman Service with the exception of highly complex cases where an extension was agreed and adhered to.</li> </ul>
	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?	✓	<ul style="list-style-type: none"> <li>Clarification on how representatives can pursue a customers' complaint are detailed in Additional Guidance 02 appended to the Complaints – Housing and Support Policy and Procedure.</li> </ul>
	If advice was given, was this accurate and easy to understand?	✓	<ul style="list-style-type: none"> <li>All guidance and written information provided to customers (such as leaflets, guidance notes and advice) have been reviewed by the National Resident Scrutiny Panel to approve</li> </ul>
	How many cases did we refuse to escalate?	0	
	What was the reason for the refusal?		
	Did we explain our decision to the resident?	N/A	
<b>7</b>	<b>Outcomes and remedies</b>		
	Where something has gone wrong are we taking appropriate steps to put things right?	✓	<ul style="list-style-type: none"> <li>The Complaints – Housing and Support Policy and Procedure provides details of how complaints may be resolved including action, apology and redress where necessary.</li> <li>Financial redress guidance is provided to staff through the Additional Guidance 05 Appended to the Complaints – Housing and Support Policy and Procedure.</li> <li>Through the Learning Outcome Form appended to the Complaints – Housing and Support Policy and Procedure where action is required to prevent a repeat complaint, this is recorded and monitored to completion.</li> </ul>

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8	Continuous learning and improvement		
	What improvements have we made as a result of learning from complaints?		<ul style="list-style-type: none"> <li>• Implemented the wellbeing service within the Customer Service Centre</li> <li>• Implemented the Managing Challenging Behaviour Policy and Procedure</li> <li>• Published Sanctuary's Risk Assessment for Covid-19 works in homes where residents had shielded.</li> <li>• Centralised the Front Line Resolution team within Case Resolution Dept</li> <li>• Implemented a disputes process for handling concerns relating to dissatisfaction or challenges relating to charges;</li> <li>• Implemented an enquiry process for handling concerns relating to property sales and EWS1 forms</li> </ul>