

Housing Ombudsman Complaints Handling Code - Spruce Complaints Policy Self Assessment

Item	Subject area	Yes	No	Met in part	Comments	HOS Mandatory or discretionary
1	Definition of a complaint					
	Do we use the HOS prescribed definition				Yes - stated in policy	M
	Does our policy have exclusions where a complaint will not be considered					D
	Are these exclusions reasonable and fair to residents				These are clearly stated and reasonable	D
2	Accessibility					
	Are multiple accessibility routes available to residents to make a complaint?					D
	Is the complaints policy and procedure on line?					M
	Do we have a reasonable adjustments policy?				Fall under Southern Housing Group's policy	M
	Do we regularly advise residents about our complaints service?					
3	Complaints Team and process					
	Is there a complaint officer or equivalent in post?				Spruce's Senior Property Manager is responsible for handling complaints	M
	Does the complaint officer have autonomy to resolve complaints?					D
	Does the complaint officer have the authority to compel engagement from other departments to resolve disputes?					D
	Does the final stage response set out rights to refer the matter to the HOS?					M
4	Communication					
	Are we keeping residents kept informed and updated during the complaints process?					D
	Are all complaints acknowledged and logged within 5 days?					M
	Are residents advised of how to escalate at the end of each stage?					M
	What proportion of complaints are resolved at stage one	50%			Data only available from April 2020 - 2 complaints received in this time	N/A
	What proportion of complaints are resolved at stage 2	50%			Data only available from April 2020 - 2 complaints received in this time, of which 1 went to stage 2	N/A
	What proportion of complaint responses are sent within the code timescales at stage one	0%			Data only available from April 2020 - 2 complaints received in this time. Both were not responded to within 10 working days.	M
	What proportion of complaint responses are sent within the code timescales at stage one with extension	50%			Data only available from April 2020 - 2 complaints received in this time. Both were not responded to within 10 working days, however one was responded to within a notified extension period	M
	responses are sent within the code timescales at stage two	0%			Only one case has reached this stage since monitoring commenced in April 20	M
	What proportion of complaint responses are sent within the code timescales at stage two with extension	0%				M
	Where timescales have been extended did we have good reason?				Only one case - in this instance no. Need to set up a system to record	M

	Where timescales have been extended did we keep the resident informed?					M
	What proportion of our complaints do we resolve to residents satisfaction?	50%			Data only available from April 2020 - 2 complaints received in this time	D
5	Cooperation with Housing Ombudsman Service					
	Were all request responded to within 15 days?	N/A			No complaints have gone to the Housing Ombudsman	M
	Where the timescale was extended did we keep the Ombudsman informed?	N/A			No complaints have gone to the Housing Ombudsman	M
6	Fairness in complaint handling					
	Are residents able to complain via a representative throughout?					M
	How many cases did we refuse to escalate?	0			Data only available from April 2020 - 2 complaints received in this time	N/A
	What were the reasons for refusal?	N/A				D
	Did we explain the decision to the resident?	N/A				M
7	Outcomes and remedies					
	Where something has gone wrong are we taking appropriate steps to put it right?				Reporting to Spruce Board going forwards on lessons learnt and process changes following complaint investigations	M
8	Continuous learning and improvement?					
	What improvements have we made as a result of learning from complaints?				Reporting to Spruce Board going forwards on lessons learnt and process changes following complaint investigations	M
	How do we share these lessons with residents?				We will share either on our website or via email	M
	How do we share these lessons with the board/governing body?				Reporting to Spruce Board going forwards on lessons learnt and process changes following complaint investigations	M
	How do we share these lessons in the annual report?	N/A			Spruce does not have an annual report	M
	Has the code made a difference to how we respond to complaints?				Yes - Spruce's complaints handling policy and procedure have been completely overhauled	N/A
	What changes have we made?				Policy has been changed to ensure it is fully compliant with the code, including regular complaints performance reporting and lessons learnt to Spruce Board	