

Self-assessment form

The following self-assessment is in accordance with the Housing Ombudsman Complaint Handling Code. You can find out more information at <https://www.housing-ombudsman.org.uk/landlords-info/complaint-handling-code/>

Compliance with the Complaint Handling Code			
1	Definition of a complaint	Yes	No
	<p>Does the complaints process use the following definition of a complaint?</p> <p><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></p> <p>Evidence relied upon:</p> <p>Ocean's Compliments and Complaints Policy contains a definition of a complaint as stated below:</p> <p>For the purpose of this policy, complaints relate specifically to instances where:</p> <ul style="list-style-type: none"> ▪ we have failed to provide a service that we should have ▪ the quality of the service we have provided has been poor ▪ customers have waited longer than published timescales or than they think is reasonable for us to do something ▪ customers have not been treated fairly or with respect by a member of staff <p>This definition is not in line with the Housing Ombudsman's (HO) definition, and will be reviewed in 2021. The HO's definition does feature in staff complaint training however.</p>		X

Does the policy have exclusions where a complaint will not be considered?	X	
<p>Are these exclusions reasonable and fair to residents?</p> <p>Evidence relied upon:</p> <p>Ocean's Compliments and Complaints policy refers to excluded groups as including:</p> <ul style="list-style-type: none"> • private individuals or home owners - who are unable to escalate to the Housing Ombudsman • rent or service charge queries - addressed by a separate tribunal • personal injury – addressed by insurers • Antisocial Behaviour – addressed under separate policy and procedure <p>We believe these exclusions to be fair and reasonable. Our Policy does not include the specific HO definition given, however, the complaints training delivered to Ocean staff does.</p>	X	
2 Accessibility	Yes	No
Are multiple accessibility routes available for residents to make a complaint?	X	
Is the complaints policy and procedure available online?	X	
<p>Do we have a reasonable adjustments policy?</p> <p>Evidence relied upon:</p> <p>Ocean's Compliments and Complaint's Policy aims to be accessible to all customers, however, we do not have a reasonable adjustments policy. A specific reasonable adjustments policy will be considered when the Compliments and Complaint's policy is reviewed in 2021.</p>		X
Do we regularly advise residents about our complaints process?	X	

<p>Evidence:</p> <p>Information is available on our website and regular tenant and resident newsletters advise residents how to raise a complaint.</p>		
<p>3 Complaints team and process</p>		
<p>Is there a complaint officer or equivalent in post?</p>	X	
<p>Does the complaint officer have autonomy to resolve complaints?</p> <p>Evidence relied upon:</p> <p>The Customer Experience Manager is the main complaints officer for the purposes of monitoring and reporting compliance with our policy, supported by a wider virtual complaints team, with responsibility shared amongst a number of roles. Autonomy is delegated to the staff member completing the investigation and response as set out in our policy and procedure.</p>	X	
<p>Does the complaint officer have authority to compel engagement from other departments to resolve disputes?</p>	X	
<p>If there is a third stage to the complaints procedure are residents involved in the decision making?</p> <p>Evidence relied upon:</p> <p>Our Policy includes a 3rd stage to the process, however, it does not include resident involvement. Together With Ocean (TWO) panel scrutinise and monitor complaint figures and narratives monthly so have oversight of the process.</p>		X
<p>Is any third stage optional for residents?</p>		X
<p>Does the final stage response set out residents' right to refer the matter to the Housing Ombudsman Service?</p>	X	

	Do we keep a record of complaint correspondence including correspondence from the resident?	X	
	At what stage are most complaints resolved?	1	
4	Communication		
	Are residents kept informed and updated during the complaints process?	X	
	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	
	Are all complaints acknowledged and logged within five days?	X	
	Are residents advised of how to escalate at the end of each stage?	X	
	What proportion of complaints are resolved at stage one?	85%	
	What proportion of complaints are resolved at stage two?	14%	
	What proportion of complaint responses are sent within Code timescales? <ul style="list-style-type: none"> • Stage one Stage one (with extension) • Stage two Stage two (with extension) 	92% overall	
	Where timescales have been extended did we have good reason?	X	
	Where timescales have been extended did we keep the resident informed?	X	
	What proportion of complaints do we resolve to residents' satisfaction?	85%	

	Evidence relied upon:		
	This is based on the number of complaints resolved at stage 1. Satisfaction with complaint closure and outcomes will be explored further in 2021.		
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?	N/A	
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?	None	
	What was the reason for refusal?		
	Did we explain our decision to the resident?	N/A	
7	Outcomes and remedies		
	Where something has gone wrong are we taking appropriate steps to put things right?	X	
8	Continuous learning and improvement		
	What improvements have we made as a result of learning from complaints?	X	

<p>Evidence relied upon:</p> <p>Each month a report is compiled on lesson learnt which is tracked ensure actions are implemented.</p>		
<p>How do we share these lessons with:</p> <p>a) residents?</p>	Via TWO	
<p>b) the board/governing body?</p> <p>c) In the Annual Report?</p>	<p>Annual Report</p> <p>Infographic and narrative. Further work required however.</p>	
<p>Has the Code made a difference to how we respond to complaints?</p>	<p>A schedule review of our Policy in 2021 will include the HO's definitions and we will consult tenants and residents again on their preference for the number of stages.</p>	
<p>What changes have we made?</p>	N/A	