



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><i>Evidence relied upon: This is illustrated in point 3 of the policy</i></p>	✓	
	<p>Does the policy have exclusions where a complaint will not be considered?</p> <p><i>This is illustrated in point 10 of the policy</i></p>	✓	
	<p>Are these exclusions reasonable and fair to residents?</p> <p><i>All exclusions are fair because other Trident Group policies or processes are in place to deal with these.</i></p> <p><i>If a complaint is rejected the resident will be written to, detailing the reason for the rejection.</i></p>	✓	
2	Accessibility		
	<p>Are multiple accessibility routes available for residents to make a complaint?</p> <p><i>As illustrated in point 4 of the policy, complaints can be made via email, telephone, in person or through Trident Group's website.</i></p>	✓	
	<p>Is the complaints policy and procedure available online?</p> <p><i>The approved policy will be on the Trident Group website, along with the self-assessment form and a guide for residents on how to make a complaint.</i></p>	✓	
	<p>Do we have a reasonable adjustments policy?</p> <p><i>We don't have a stand-alone policy – but the Complaints Policy refers to the policy being reviewed if new legislation requires us to do so.</i></p>		✓
	<p>Do we regularly advise residents about our complaints process?</p> <p><i>Residents receive our annual magazine, Trident Talk, and quarterly newsletter, Fast Talk, that make reference on how to make a complaint. The new policy and a leaflet will be available on our website. The leaflet will be included in all sign up tenancy packs.</i></p>	✓	



3	Complaints Team and Process	Yes	No
	<p>Is there a complaint officer or equivalent in post?</p> <p><i>There is a designated Complaints Administrator that handles all the complaints received, ensuring timescales are met and appropriate paperwork is sent to the investigating staff member.</i></p>	✓	
	<p>Does the complaint officer have autonomy to resolve complaints?</p> <p><i>The appointed Investigating Officer has the autonomy to resolve complaints.</i></p>		✓
	<p>Does the complaint officer have authority to compel engagement from other departments to resolve disputes?</p> <p><i>The appointed Investigating Officer has the authority to compel engagement with any other member of staff or department who can assist with the investigation and outcome of a complaint.</i></p>		✓
	<p>If there is a third stage to the complaints procedure are residents involved in the decision making?</p> <p><i>The policy is a 2-stage process – but we will share performance data and learning where improvements to the service can be suggested by the panel.</i></p>	N/A	
	<p>Is any third stage optional for residents?</p> <p><i>There is no third stage within the policy. If the complainant is still unhappy with the outcome of the complaint, they will be referred to the Housing Ombudsman Service.</i></p>		✓
	<p>Does the final stage response set out residents' right to refer the matter to the Housing Ombudsman Service?</p> <p><i>The appeals stage outcome letter advises the complainant of their right to appeal to the Housing Ombudsman Service.</i></p>	✓	
	<p>Do we keep a record of complaint correspondence including correspondence from the resident?</p> <p><i>All complaints are recorded on a case management system and given a unique reference. Any correspondence is saved on this and linked to the individual tenancy record within the housing system - CRM.</i></p>	✓	
	<p>At what stage are most complaints resolved?</p> <p><i>For the period 1 April 2019 to 31st March 2020, we recorded 56 complaints and the majority (51 complaints - 91%) were resolved at stage 1.</i></p>	N/A	



4	Communication	Yes	No
	<p>Are residents kept informed and updated during the complaints process?</p> <p><i>Complainants are kept informed throughout the process. This includes timescales, extensions if needed, outcome of complaint, appeals process and how to escalate a complaint.</i></p>	✓	
	<p>Are residents informed of the landlord's position and given a chance to respond and challenge any area of dispute before the final decision?</p> <p><i>Complainants may need to be interviewed as part of a stage one investigation to provide further information or clarification. At second stage, the review panel will invite the complainant to discuss the appeal.</i></p>	✓	
	<p>Are all complaints acknowledged and logged within five days?</p> <p><i>All complaints are logged within two days of receipt.</i></p>	✓	
	<p>Are residents advised of how to escalate at the end of each stage?</p> <p><i>Letters sent to the complainant, at each stage, clearly details the escalation process.</i></p> <p><i>This is also illustrated in the complaints flow chart that is sent out to the complainant with the acknowledgement letter.</i></p>	✓	
	<p>What proportion of complaints are resolved at stage one, two and three?</p> <p><i>For the period from 1 April 2019 to 31 March 2020, we received a total of 56 complaints.</i></p> <ul style="list-style-type: none"> <i>• 51 (91%) complaints were resolved at stage 1</i> <i>• 3 (5%) complaints were resolved at stage 2</i> <i>• 1 complaint was resolved at stage 3</i> <i>• 1 complaint was resolved via the Housing Ombudsman Service</i> 	N/A	
	<p>What proportion of complaint responses are sent within Code timescales?</p> <p><i>For the period from 1 April 2019 to 31 March 2020:</i></p> <ul style="list-style-type: none"> <i>• Stage one = 41%</i> <i>• Stage one (with extension) = 50%</i> <i>• Stage two = 1.8%</i> <i>• Stage two (with extension) = 3.5%</i> <i>• Stage 3 = 1.8%</i> <i>• Stage 3 (with no extension) = 0</i> 	N/A	



4	Communication	Yes	No
	<p>Where timescales have been extended, did we have good reason?</p> <p><i>Examples of when timescales have been extended include:</i></p> <ul style="list-style-type: none"> <i>Annual leave/sickness of either the Investigating Officer or staff member who needed to provide additional information</i> <i>If evidence or documentation gathering was cross departmental and needed more time</i> 	✓	
	<p>Where timescales have been extended did we keep the resident informed?</p> <p><i>Where this has happened, the complainant has been kept informed.</i></p>	✓	
	<p>What proportion of complaints do we resolve to residents' satisfaction?</p> <p><i>Customer satisfaction surveys specifically relating to all complaints is currently being developed in line with our new Resident and Customer Engagement Strategy and in line with the new policy and procedure. The new CRM system will support the required recoding, monitoring and satisfaction levels of complaints.</i></p> <p><i>In our 2019 survey, only a minority (19%) of respondents had made a formal complaint during the past 12 months. With 55% being very or fairly dissatisfied and 32% showing satisfaction.</i></p>	N/A	

5	Co-operation with Housing Ombudsman Service	Yes	No
	<p>Were all requests for evidence responded to within 15 days?</p> <p><i>We only had one complaint that went to the Housing Ombudsman and all the information requested was provided within the required timescales.</i></p>	✓	
	<p>Where the timescale was extended did we keep the Ombudsman informed?</p> <p><i>An extension was not required.</i></p>	N/A	



6	Fairness In Complaint Handling	Yes	No
	<p>Are residents able to complain via a representative throughout?</p> <p><i>This is illustrated in point 9 of the policy</i></p>	✓	
	<p>If advice was given, was this accurate and easy to understand?</p> <p><i>This will be made clear in our information leaflet titled: How to make a complaint.</i></p>	✓	
	<p>How many cases did we refuse to escalate? What was the reason for the refusal? Did we explain our decision to the resident?</p> <p><i>We did not refuse to escalate any cases for the said period.</i></p>	N/A	

7	Outcomes and Remedies	Yes	No
	<p>Where something has gone wrong are we taking appropriate steps to put things right?</p> <p><i>We are currently working on a process on learning from outcomes and identifying trends to record and report on these.</i></p> <p><i>Training for all staff will be mandatory.</i></p>	✓	

8	Continuous learning and improvement	Yes	No
	<p>What improvements have we made as a result of learning from complaints?</p> <p><i>Specific improvements have not been recorded – but this will be rectified in line with the Resident and Customer Engagement Strategy and Complaints Policy and Procedure; and the introduction of learning from complaints.</i></p>	N/A	
	<p>How do we share these lessons with:</p> <ul style="list-style-type: none"> • <i>Residents? – The Residents’ Complaints Panel will receive a quarterly report with all complaints and outcomes and lessons learnt. This will also be published within resident newsletters</i> • <i>The board/governing body? – Group Board will receive quarterly KPI data on complaints</i> • <i>In the Annual Report? - Not reported in the most recent Annual Report but will be included in 2021 report.</i> 	N/A	



8	Continuous learning and improvement	Yes	No
	<p>Has the Code made a difference to how we respond to complaints?</p> <p><i>The existing interim Complaints Policy covered most areas of the code in respect of how we respond to complaints. However, we will work on reporting on complaint performance to residents, learning from complaints and cascading the information to staff. Our upgraded CRM system will support robust internal procedures and we will ensure all staff receive training on this.</i></p>	N/A	N/A
	<p>What changes have we made?</p> <ul style="list-style-type: none"><i>Policy amended to include the Ombudsman's definition of a complaint</i><i>The policy will be available on the website, including self-assessment form and section on how to make a complaint</i><i>A complaints leaflet will be produced for residents with a clear process</i><i>The policy has been developed in conjunction with consultations with residents</i><i>The policy ensures that KPI data is produced to share with residents in various formats</i><i>Promotes complaints and learning widely</i><i>Staff responding to complaints will receive training on procedure and code of practice</i><i>Introduction of satisfaction surveys</i><i>A Compensation Policy to be reviewed</i>		