

## Self-assessment form

This self-assessment form was completed by the complaints officer and was reviewed and approved by the Customer Committee on 27<sup>th</sup> June 2024

We are publishing this alongside our annual complaint's performance and service improvement report on our website.

While it's positive to see the progress we have made over the last year, the Customer Committee are fully committed of the steps we need to take including launching a brand new training and awareness package for all colleagues in the Autumn on effectively handling complaints, working collaboratively together and embracing a positive learning culture to ensure we always listen, learn and take action to help drive further service improvements.

### Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	A complaint must be defined as: <i>'an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.'</i>	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	As per section <b>4.1. Definition of a Complaint</b> in the Complaints, Concerns and Compliments policy ('policy').
1.3	A resident does not have to use the word 'complaint' for it to be treated as such. Whenever a resident expresses dissatisfaction landlords must give them the choice to make complaint. A complaint that is submitted via a third party or representative must be handled	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	As per section <b>4.1. Definition of a Complaint</b> of the policy: "Abbeyfield recognises that the word complaint does not have to be used in order for it to be treated as such. While this

	in line with the landlord's complaints policy.			<i>policy is aimed at residents or their representatives, the above definition is extended to cover an expression of dissatisfaction from any stakeholder affected by the standard of service, actions or lack of action from The Abbeyfield Society or those working for us."</i>
1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be recorded, monitored and reviewed regularly.	Yes	<a href="https://www.abbeyfield.com/complaints-concerns-and-compliments-policy.pdf">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	As per section <b>4.1. Definition of a Complaint</b> of the policy: "A service request may precede a formal complaint if appropriate action is not taken to resolve the issue for residents as early as possible. A complaint will be raised when the resident raises dissatisfaction with the response to their service request. "
1.5	A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains.	Yes	<a href="https://www.abbeyfield.com/complaints-concerns-and-compliments-policy.pdf">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	Our complaints policy follows the complaints definition and any expression of dissatisfaction as a result will follow the complaints route

1.6	An expression of dissatisfaction with services made through a survey is not defined as a complaint, though wherever possible, the person completing the survey should be made aware of how they can pursue a complaint if they wish to. Where landlords ask for wider feedback about their services, they also must provide details of how residents can complain.	Yes		<p>The annual Housing Residents' Satisfaction Survey is anonymous – however, there is space for respondents to provide their name and the name of their service (<i>“As the survey is anonymous, we will not be able to identify which service or resident the response is from. If you would like us to follow up on any specific aspects of your response, please let us know your name and contact details, as well as the name and location of the Abbeyfield service”</i>) and the Complaints process would then be offered, as appropriate.</p> <p>Where a respondent to the Complaints Handling Satisfaction Survey states they remain dissatisfied with the Stage 1 response, their complaint is escalated to Stage 2.</p>
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## Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.1	Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint they must be able to evidence their reasoning. Each complaint must be considered on its own merits	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	As per section <b>4.1. Definition of a Complaint</b> of the policy: <i>“Aside from the Exclusions given under ‘Scope’, Abbeyfield will treat any ‘expression of dissatisfaction’ as a complaint under this policy to ensure the identified issue is investigated and responded to appropriately.</i>
2.2	A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include: <ul style="list-style-type: none"> <li>• The issue giving rise to the complaint occurred over twelve months ago.</li> <li>• Legal proceedings have started. This is defined as details of the claim, such as the Claim Form and Particulars of Claim, having been filed at court.</li> <li>• Matters that have previously been</li> </ul>	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	As per section <b>3. Scope</b> of the policy: <i>“In rare circumstances, Abbeyfield reserves the right to deal with a complaint differently (outside the normal complaints handling process) if required. A full record of the reasons why the complaint should be addressed differently will be made and the complainant informed accordingly. The complainant will also be informed of their right to take</i>

	considered under the complaints policy.			<i>that decision to the relevant Ombudsman, as applicable.”</i>
2.3	Landlords must accept complaints referred to them within 12 months of the issue occurring or the resident becoming aware of the issue, unless they are excluded on other grounds. Landlords must consider whether to apply discretion to accept complaints made outside this time limit where there are good reasons to do so.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	This is covered in the ‘Time Limits’ section of our policy at section 4.8
2.4	If a landlord decides not to accept a complaint, an explanation must be provided to the resident setting out the reasons why the matter is not suitable for the complaints process and the right to take that decision to the Ombudsman. If the Ombudsman does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	We set out our position on this in section 3.1 of our policy
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	Our Complaints policy sets out our commitment to actively encouraging complaints to learn about our strengths and understand our areas for focus

### Section 3: Accessibility and Awareness

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
3.1	Landlords must make it easy for residents to complain by providing different channels through which they can make a complaint. Landlords must consider their duties under the Equality Act 2010 and anticipate the needs and reasonable adjustments of residents who may need to access the complaints process.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	As per section <b>4.5 Reasonable adjustments</b> of the policy: <i>“If the individual has difficulty in making a complaint using one of the options listed above, Abbeyfield will make all reasonable adjustments necessary to enable them to raise their complaint.</i>  All staff are required to undertake mandatory Equality, Diversity, and Inclusion training.
3.2	Residents must be able to raise their complaints in any way and with any member of staff. All staff must be aware of the complaints process and be able to pass details of the complaint to the appropriate person within the landlord.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	As per section <b>4.4 Making a Complaint</b> of the policy. Routes are via the website, by email, post, telephone (which is managed by Senior Response), through a representative using any of the above channels, or in person to any member of staff who will pass onto the Complaints team.
3.3	High volumes of complaints must not be seen as a negative, as they can be indicative of a well-publicised and accessible	Yes	<a href="#">making-a-complaint-guide-august-2023.pdf (abbeyfield.com)</a>	We publish our ‘Making a Complaint’ guide on our website and have copies in all our locations for residents which residents can collect without having to ask for a copy.

	complaints process. Low complaint volumes are potentially a sign that residents are unable to complain.			We actively encourage complaints so we can listen, learn & take action to further improve our services
3.4	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the two stage process, what will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord's website.	Yes	<a href="https://www.abbeyfield.com/complaints-concerns-and-compliments-policy.pdf">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a> <a href="https://www.abbeyfield.com/making-a-complaint-guide-august-2023.pdf">making-a-complaint-guide-august-2023.pdf (abbeyfield.com)</a> <a href="#">How to Complain   Complaints Process   Abbeyfield</a>	Our two-stage process, including its timeframes are included in our Complaints policy, within our 'Making a Complaint' guide and available via our website in a dedicated section.
3.5	The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.	Yes	<a href="https://www.abbeyfield.com/complaints-concerns-and-compliments-policy.pdf">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	A copy of our <a href="#">Making a Complaint Guide</a> is given to all prospective residents, displayed prominently on noticeboards at our services, and a downloadable copy is available via the complaints section of the Abbeyfield website ( <a href="https://www.abbeyfield.com/complaints-process/">https://www.abbeyfield.com/complaints-process/</a> ).
3.6	Landlords must give residents the opportunity to have a representative deal with their complaint on their behalf, and to be represented or accompanied at any meeting with the landlord.	Yes	<a href="https://www.abbeyfield.com/complaints-concerns-and-compliments-policy.pdf">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	Section 4 of our Complaints Policy outlines our approach to representatives being able to raise complaints on behalf of a resident
3.7	Landlords must provide residents with information on their right to	Yes	<a href="https://www.abbeyfield.com/making-a-complaint-guide-august-2023.pdf">making-a-complaint-guide-august-2023.pdf (abbeyfield.com)</a>	A copy of our <a href="#">Making a Complaint Guide</a> is provided to all prospective residents,

	access the Ombudsman service and how the individual can engage with the Ombudsman about their complaint.			displayed prominently on noticeboards at our services, and a downloadable copy is available via the complaints section of the Abbeyfield website ( <a href="https://www.abbeyfield.com/complaints-process/">https://www.abbeyfield.com/complaints-process/</a> ).
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#### Section 4: Complaint Handling Staff

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
4.1	Landlords must have a person or team assigned to take responsibility for complaint handling, including liaison with the Ombudsman and ensuring complaints are reported to the governing body (or equivalent). This Code will refer to that person or team as the 'complaints officer'. This role may be in addition to other duties.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	As per section <b>4.15 Responsibilities</b> of the policy: <i>"The central complaints process is administered through the Complaints Officer, who has delegated responsibility from the Customer Operations Director. The Complaints Officer is the Customer Quality Manager."</i>
4.2	The complaints officer must have access to staff at all levels to facilitate the prompt resolution of complaints.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	As per section <b>4.15 Responsibilities</b> of the policy: <i>"The Complaints Officer will</i>



	<p>They must also have the authority and autonomy to act to resolve disputes promptly and fairly.</p>			<p><i>direct all complaints received to the appropriate manager for investigation. Each manager is responsible for addressing complaints within their area of responsibility, unless there is a conflict of interest in which case another senior manager would investigate the issues raised.”</i></p> <p>While Regional Operations Managers handle complaints for their services, we would reallocate complaints to alternative investigators where a conflict of interest is identified.</p>
<p>4.3</p>	<p>Landlords are expected to prioritise complaint handling and a culture of learning from complaints. All relevant staff must be suitably trained in the importance of complaint handling. It is important that complaints are seen as a core service and must be resourced to handle complaints effectively</p>	<p>No</p>		<p>The Complaints Officer, Regional Operations Managers act sensitively and fairly, have access to staff at all levels, and have the authority and autonomy to resolve disputes. Abbeyfield undertakes values-based interview processes to ensure those investigating</p>

				<p>complaints are suitable to do so.</p> <p>Training on the new policy was undertaken by the Complaints Officer in late 2022 with a permanent training module on Complaints Handling on the Learning Management System (LMS) in the final stages of development. This has been delayed due to the change to a new LMS (Learning &amp; Development Consultant, in Spring 2024.</p> <p>In addition, all staff will receive Customer Service/Complaints training in Autumn 2024.</p> <p>A new complaint lessons learned approach will also be rolled out in Summer 2024 to support the learning culture.</p>
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## Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	We operate a single complaints policy across all our services
5.2	The early and local resolution of issues between landlords and residents is key to effective complaint handling. It is not appropriate to have extra named stages (such as 'stage 0' or 'informal complaint') as this causes unnecessary confusion.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	We operate a two-stage complaints policy to support early and local resolution to support effective complaint handling
5.3	A process with more than two stages is not acceptable under any circumstances as this will make the complaint process unduly long and delay access to the Ombudsman.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	We operate a two-stage complaints policy to support early and local resolution to support effective complaint handling
5.4	Where a landlord's complaint response is handled by a third party (e.g. a contractor or independent adjudicator) at any stage, it must form part of the two stage complaints process set out in this Code. Residents must not be expected to go through two complaints processes.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	We operate a two-stage complaints policy to support early and local resolution to support effective complaint handling

5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	We operate a two-stage single complaints policy to support early and local resolution to support effective complaint handling including managing complaints effectively with any third parties working on our behalf
5.6	When a complaint is logged at Stage 1 or escalated to Stage 2, landlords must set out their understanding of the complaint and the outcomes the resident is seeking. The Code will refer to this as “the complaint definition”. If any aspect of the complaint is unclear, the resident must be asked for clarification.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>  <a href="#">Standard Operating Procedure (abbeyfield.com)</a>	As per our procedure: <i>“The complaint acknowledgement will also set out the understanding of the complaint and the outcomes the complainant is seeking. If any aspect of the complaint is unclear, the resident must be asked for clarification and the full definition agreed between both parties.”</i>
5.7	When a complaint is acknowledged at either stage, landlords must be clear which aspects of the complaint they are, and are not, responsible for and clarify any areas where this is not clear.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>  <a href="#">Standard Operating Procedure (abbeyfield.com)</a>	As per our procedure: <i>“The complaint acknowledgement will also set out the understanding of the complaint and the outcomes the complainant is seeking. If any aspect of the complaint is unclear, the resident must be</i>

				<i>asked for clarification and the full definition agreed between both parties.”</i>
5.8	At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> <li>a. deal with complaints on their merits, act independently, and have an open mind;</li> <li>b. give the resident a fair chance to set out their position;</li> <li>c. take measures to address any actual or perceived conflict of interest; and</li> <li>d. consider all relevant information and evidence carefully.</li> </ul>	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a> <a href="#">Standard Operating Procedure (abbeyfield.com)</a>	Section 3.3.3 <b>Investigating a Complaint</b> of the Addressing a Complaint SOP outlines the expectations of the Investigating Officer.
5.9	Where a response to a complaint will fall outside the timescales set out in this Code, the landlord must agree with the resident suitable intervals for keeping them informed about their complaint.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a> <a href="#">Standard Operating Procedure (abbeyfield.com)</a>	Section 3.3.3 <b>Investigating a Complaint</b> of the procedure: <i>“In the event that more than 10 working days is required, the Investigating Officer should contact the complainant and seek their agreement on the new timescale, prior to confirming in writing</i>
5.10	Landlords must make reasonable adjustments for residents where	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	As per section <b>4.5 Reasonable adjustments</b>

	<p>appropriate under the Equality Act 2010. Landlords must keep a record of any reasonable adjustments agreed, as well as a record of any disabilities a resident has disclosed. Any agreed reasonable adjustments must be kept under active review.</p>			<p>of the policy: <i>“If the individual has difficulty in making a complaint using one of the options listed above, Abbeyfield will make all reasonable adjustments necessary to enable them to raise their complaint.</i></p> <p>All staff are required to undertake mandatory Equality, Diversity, and Inclusion training.</p>
5.11	<p>Landlords must not refuse to escalate a complaint through all stages of the complaints procedure unless it has valid reasons to do so. Landlords must clearly set out these reasons, and they must comply with the provisions set out in section 2 of this Code.</p>	Yes	<p><a href="#">complaints-concerns-and-compliments-policy.pdf</a> (<a href="#">abbeyfield.com</a>)</p>	<p>Section 3.4 <b>Stage 2: Review of the complaint and subsequent investigation by a Director of the procedure:</b> <i>“If the complainant thinks that the initial response has not fully addressed their complaint or they remain dissatisfied, they may escalate the complaint to Stage 2 by contacting the Complaints Officer (by any means) and requesting a review.”</i></p>

5.12	A full record must be kept of the complaint, and the outcomes at each stage. This must include the original complaint and the date received, all correspondence with the resident, correspondence with other parties, and any relevant supporting documentation such as reports or surveys.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	As per section 4.9 <b>Handling Complaints</b> of the policy: <i>“All complaints received and subsequently investigated will be recorded fully in the Complaints Log and a copy of relevant documentation kept.”</i>
5.13	Landlords must have processes in place to ensure a complaint can be remedied at any stage of its complaints process. Landlords must ensure appropriate remedies can be provided at any stage of the complaints process without the need for escalation.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	Our two stage complaints process allows at each stage the opportunity for remedies to be explored and agreed without the need for escalation.
5.14	Landlords must have policies and procedures in place for managing unacceptable behaviour from residents and/or their representatives. Landlords must be able to evidence reasons for putting any restrictions in place and must keep restrictions under regular review.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	Section 4.14 <b>Managing complainants’ expectations and behaviour</b> of policy: <i>“If a complaint is accompanied by inappropriate behaviour (e.g. aggressive or abusive) from the complainant, Abbeyfield will seek to manage this behaviour separately...Actions to manage a complainant’s behaviour may include</i>

				<p><i>warning the individual about their behaviour and requesting modifications, appointing a specific point of contact, or communicating only in writing. Any restrictions due to unacceptable behaviour will be agreed with the Customer Operations Director, be proportionate and in line with the Equality Act 2010.”</i></p>
5.15	<p>Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.</p>	Yes	<p><a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a></p>	<p>Section 4.14 <b>Managing complainants’ expectations and behaviour</b> of policy: <i>“If a complaint is accompanied by inappropriate behaviour (e.g. aggressive or abusive) from the complainant, Abbeyfield will seek to manage this behaviour separately...Actions to manage a complainant’s behaviour may include warning the individual about their behaviour and requesting modifications,</i></p>



				<p><i>appointing a specific point of contact, or communicating only in writing. Any restrictions due to unacceptable behaviour will be agreed with the Customer Operations Director, be proportionate and in line with the Equality Act 2010.”</i></p>
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## Section 6: Complaints Stages

### Stage 1

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.1	Landlords must have processes in place to consider which complaints can be responded to as early as possible, and which require further investigation. Landlords must consider factors such as the complexity of the complaint and whether the resident is vulnerable or at risk. Most stage 1 complaints can be resolved promptly, and an explanation, apology or resolution provided to the resident.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>  <a href="#">Standard Operating Procedure (abbeyfield.com)</a>	Our processes and procedures ensure when a complaint is received that it is reviewed fully and carefully considered, where opportunities arise to quickly resolve & respond to a complaint at stage 1, this will be actioned.
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <b><u>within five working days of the complaint being received.</u></b>	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	<p>As per section 4.10 <b>Timescales</b> of the policy “<i>Written acknowledgement within two working days of receipt of the complaint</i>”, which is monitored as a Complaints Handling KPI.</p> <p>In 2023, 91% of complaints were acknowledged within two working days in line with our policy. Where our policy was</p>

				not meet, all complaints were acknowledged within five days of receipt (as per the Code)
6.3	Landlords must issue a full response to stage 1 complaints <b><u>within 10 working days</u></b> of the complaint being acknowledged.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	As per section 4.10 <b>Timescales</b> of the policy: <i>“Stage 1 decision - a full written response will be provided within 10 working days of the acknowledgement. If this is not possible, Abbeyfield will contact the complainant, explain why, and agree a new response time, which will only exceed a further 10 days by exception.”</i>
6.4	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 10 working days without good reason, and the reason(s) must be clearly explained to the resident.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	As per section 4.10 <b>Timescales</b> of the policy: <i>“Stage 1 decision - a full written response will be provided within 10 working days of the acknowledgement. If this is not possible, Abbeyfield will contact the complainant, explain why, and agree a new</i>

				<i>response time, which will only exceed a further 10 days by exception.”</i>
6.5	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	Our extension template specifically includes a paragraph confirming the Ombudsman contact details
6.6	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>  <a href="#">Standard Operating Procedure (abbeyfield.com)</a>	A complaint response is provided to the complainant with the findings and agreed actions to remedy the complaint – with actions tracked to ensure fully completed, with the complaint file updated with subsequent correspondence.
6.7	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>  <a href="#">Standard Operating Procedure (abbeyfield.com)</a>	Section 3.3.3.2 <b>Reviewing the evidence</b> of the procedure: <i>“Once collated, the evidence should be reviewed against:</i> <ul style="list-style-type: none"> <li>• <i>TAS policies and procedures</i></li> <li>• <i>Relevant legislation and regulations, where applicable</i></li> <li>• <i>Resident information and</i></li> </ul>

				<p><i>literature”</i></p> <p>Section 3.3.3.4 <b>Final response</b> of the procedure states: <i>“The final response letter should include: details of the findings...”</i></p> <p>The Stage 1 template response letter has a section for the findings to be detailed.</p> <p>The Complaints Officer monitors complaint responses whenever possible to ensure these cover all relevant points before issue.</p>
6.8	Where residents raise additional complaints during the investigation, these must be incorporated into the stage 1 response if they are related and the stage 1 response has not been issued. Where the stage 1 response has been issued, the new issues are unrelated to the issues already being investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint.	Yes	<p><a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a></p> <p><a href="#">Standard Operating Procedure (abbeyfield.com)</a></p>	<p>As per section 3.3.3.3 <b>Additional complaints</b> of the procedure: <i>“Where residents raise additional complaints during the investigation either to the Complaints team or directly to the Investigating Officer (or other staff member), these will be incorporated into the Stage 1 response if they are relevant and the Stage 1</i></p>

				<p><i>response has not been issued. Where the Stage 1 response has been issued, or it would unreasonably delay the response, the new issues will be logged as a new complaint and the complainant informed.”</i></p>
6.9	<p>Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language:</p> <ol style="list-style-type: none"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> <li>g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</li> </ol>	Yes	<p><a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a></p> <p><a href="#">Standard Operating Procedure (abbeyfield.com)</a></p>	<p>As per section 3.3.3.4 <b>Final response</b> of the procedure:  <i>“The final response letter should include:</i></p> <ul style="list-style-type: none"> <li>• <i>details of the findings;</i></li> <li>• <i>any action that has been taken;</i></li> <li>• <i>our proposals to resolve the complaint (see ‘Putting things right’); and</i></li> <li>• <i>details of how to escalate the complaint if the complainant remains dissatisfied</i></li> <li>• <i>the contact details for the Ombudsman, if relevant for the complainant.”</i></li> </ul>

				The Stage 1 template response letter is structured to ensure all of these areas are covered, which is monitored by the Complaints Officer prior to issuing response letters, as far as possible.
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## Stage 2

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
6.10	If all or part of the complaint is not resolved to the resident's satisfaction at stage 1, it must be progressed to stage 2 of the landlord's procedure. Stage 2 is the landlord's final response.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	<p>As per section 4.9 of the <b>Handling Complaints</b> of the policy: <i>"Complainants are not required to put their request to escalate their complaint to the next stage of the process in writing but will need to inform Abbeyfield if they remain dissatisfied...Requests to escalate...will be subject to the same exclusions outlined under 'Scope'."</i></p> <p>Where a complainant expresses dissatisfaction with the Stage 1 response, the complaint case will be</p>

				<p>escalated to Stage 2 without the complainant making a specific request.</p> <p>25% of Housing complaints received and responded to at Stage 1 in 2023 were escalated to Stage 2. There were no cases this year where Abbeyfield declined to escalate a complaint.</p>
6.11	<p>Requests for stage 2 must be acknowledged, defined and logged at stage 2 of the complaints procedure within five working days of the escalation request being received.</p>	Yes	<p><a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a></p> <p><a href="#">Standard Operating Procedure (abbeyfield.com)</a></p>	<p>As per section 3.4 <b>Stage 2: Review of the complaint and subsequent investigation by a Director</b> of the procedure: <i>“The Complaints Officer will send the standard written acknowledgement of escalation letter to the complainant(s) within five working days of receipt of the request”</i> and <i>“If it is unclear, the Reviewing Director will ask the complainant to clarify which aspects of the complaint have not yet been resolved and what outcome they are seeking from the</i></p>



				<p><i>review.”</i></p> <p>The standard acknowledgement of escalation letter states: <i>“We understand that your outstanding dissatisfaction relates to &lt; details to be added, e.g. the Stage 1 response failing to provide adequate compensation for the delay in undertaking repairs to your bathroom. &gt; We understand that you would like &lt; e.g. further compensation and an apology in recognition of the manner in which the situation has been handled &gt;. If the above is not an accurate summary of the reason for the request to escalate your complaint, please let us know via <a href="mailto:complaints@abbeyfield.com">complaints@abbeyfield.com</a> or by using the contact details provided below.”</i></p>
6.12	Residents must not be required to explain their reasons for requesting a stage 2 consideration. Landlords are expected to make reasonable efforts to	Yes	<p><a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a></p> <p><a href="#">Standard Operating Procedure</a></p>	As per section 3.4 <b>Stage 2: Review of the complaint and subsequent investigation by a Director</b> of the procedure:

	<p>understand why a resident remains unhappy as part of its stage 2 response.</p>		<p><a href="http://abbeyfield.com">abbeyfield.com</a></p>	<p><i>“The Complaints Officer will send the standard written acknowledgement of escalation letter to the complainant(s) within five working days of receipt of the request” and “If it is unclear, the Reviewing Director will ask the complainant to clarify which aspects of the complaint have not yet been resolved and what outcome they are seeking from the review.”</i></p> <p>The standard acknowledgement of escalation letter states: <i>“We understand that your outstanding dissatisfaction relates to &lt; details to be added, e.g. the Stage 1 response failing to provide adequate compensation for the delay in undertaking repairs to your bathroom. &gt; We understand that you would like &lt; e.g. further compensation and an apology in recognition of the</i></p>
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				<p><i>manner in which the situation has been handled &gt;. If the above is not an accurate summary of the reason for the request to escalate your complaint, please let us know via <a href="mailto:complaints@abbeyfield.com">complaints@abbeyfield.com</a> or by using the contact details provided below.”</i></p>
6.13	<p>The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.</p>	Yes	<p><a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a></p>	<p>As per section 4.9 of the <b>Handling Complaints</b> of the policy: “<i>The person considering the complaint at Stage 2 will not be the same person that considered the complaint at Stage 1.</i>”</p> <p>This is monitored by the Complaints Officer and recorded on the Complaints Log.</p>
6.14	<p>Landlords must issue a final response to the stage 2 <b>within 20 working days</b> of the complaint being acknowledged.</p>	Yes	<p><a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a></p>	<p>As per section 4.10 of the <b>Timescales</b> of the policy, Abbeyfield’s Stage 2 response timescale is 15 working days (not 20): “<i>Stage 2 decision – a full written response will be provided within 15 working</i></p>

				<p><i>days from the request to escalate. If this is not possible, Abbeyfield will contact the complainant, explain why, and agree a new response time, which will only exceed a further 10 days by exception.”</i></p> <p><b>Section 3.4 Stage 2: Review of the complaint and subsequent investigation by a Director</b> of the procedure states: <i>“Provide a full written response to the complainant within 15 working days of the request to escalate. If this is not possible, the Reviewing Director must contact the complainant to provide a clear explanation for the delay and a revised date (of up to 10 additional working days) for when the Stage 2 response will be given. In the event that more than 10 working days is required, the Reviewing Director should contact the</i></p>
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				<i>complainant and seek their agreement for the delayed timescale, which should then be confirmed in writing. The new timescale and the reason for the delay should be communicated to the Complaints Officer.”</i>
6.15	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the complaint and then inform the resident of the expected timescale for response. Any extension must be no more than 20 working days without good reason, and the reason(s) must be clearly explained to the resident.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>  <a href="#">Standard Operating Procedure (abbeyfield.com)</a>	As per section 3.3.3 <b>Investigating a Complaint</b> of the procedure: <i>“In the event that more than 10 working days is required, the Investigating Officer should contact the complainant and seek their agreement on the new timescale, prior to confirming in writing.”</i>
6.16	When an organisation informs a resident about an extension to these timescales, they must be provided with the contact details of the Ombudsman.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>  <a href="#">Standard Operating Procedure (abbeyfield.com)</a>	Our acknowledgment template & procedure reflect the requirement to confirm the contact details for the Ombudsman.

6.17	A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.		<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>  <a href="#">Standard Operating Procedure (abbeyfield.com)</a>	A complaint response is provided to the complainant with the findings and agreed actions to remedy the complaint – with actions tracked to ensure fully completed, with the complaint file updated with subsequent correspondence.
6.18	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>  <a href="#">Standard Operating Procedure (abbeyfield.com)</a>	Section 3.3.3.2 <b>Reviewing the evidence</b> of the procedure: <i>“Once collated, the evidence should be reviewed against:</i> <ul style="list-style-type: none"> <li>• <i>TAS policies and procedures</i></li> <li>• <i>Relevant legislation and regulations, where applicable</i></li> <li>• <i>Resident information and literature”</i></li> </ul> Section 3.3.3.4 <b>Final response</b> of the procedure states: <i>“The final response letter should include: details of the findings...”</i>

				<p>The Stage 2 template response letter has a section for the findings to be detailed.</p> <p>The Complaints Officer monitors complaint responses whenever possible to ensure these cover all relevant points before issue.</p>
6.19	<p>Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:</p> <ol style="list-style-type: none"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> <li>g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.</li> </ol>	Yes	<p><a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a></p> <p><a href="#">Standard Operating Procedure (abbeyfield.com)</a></p>	<p>As per section 3.3.3.4 <b>Final response</b> of the procedure: <i>“The final response letter should include:</i></p> <ul style="list-style-type: none"> <li>• <i>details of the findings;</i></li> <li>• <i>any action that has been taken;</i></li> <li>• <i>our proposals to resolve the complaint (see ‘Putting things right’); and</i></li> <li>• <i>details of how to escalate the complaint if the complainant remains dissatisfied</i></li> <li>• <i>the contact details for the Ombudsman, if relevant for the complainant.”</i></li> </ul>

				The Stage 2 template response letter is structured to ensure all of these areas are covered, which is monitored by the Complaints Officer prior to issuing response letters, as far as possible.
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>  <a href="#">Standard Operating Procedure (abbeyfield.com)</a>	Section 3.3.3 <b>Investigating a Complaint</b> of the Addressing a Complaint SOP outlines the expectations of the Investigating Officer.

## Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> <li>• Apologising;</li> <li>• Acknowledging where things have gone wrong;</li> <li>• Providing an explanation,</li> </ul>	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>  <a href="#">Standard Operating Procedure (abbeyfield.com)</a>	As per section 3.6 <b>Putting things right</b> of the procedure: <i>"Where the investigation (Stage 1) or the subsequent review (Stage 2) identifies that a complaint should be upheld, the Investigating Officer or</i>



	<ul style="list-style-type: none"> <li>• assistance or reasons;</li> <li>• Taking action if there has been delay;</li> <li>• Reconsidering or changing a decision;</li> <li>• Amending a record or adding a correction or addendum;</li> <li>• Providing a financial remedy;</li> <li>• Changing policies, procedures or practices.</li> </ul>			<p><i>Reviewing Director should: Ensure the failure is acknowledged...Clearly outline the actions that Abbeyfield has or intends to take to put things right to the complainant."</i></p>
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	<p><a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a></p> <p><a href="#">Standard Operating Procedure (abbeyfield.com)</a></p>	<p>As per section 3.6 <b>Putting things right</b> of the procedure:  <i>"The specific actions that may be taken include:</i></p> <ul style="list-style-type: none"> <li>• <i>Providing an apology to the complainant,</i></li> <li>• <i>Providing information or an explanation to the complainant.</i></li> <li>• <i>Reviewing resident literature (leaflets, posters etc.)</i></li> <li>• <i>Reviewing an operational process.</i></li> <li>• <i>Reviewing a contractual agreement with a third party supplier.</i></li> <li>• <i>Requesting a review of a policy.</i></li> </ul>

				<ul style="list-style-type: none"> <li>• <i>Arranging training or guidance for staff members involved.</i></li> </ul> <p>Section 3.3.3 <b>Investigating a Complaint</b> of the procedure states: <i>“the Investigating Officer should manage residents’ expectations from the outset, being clear where a desired outcome is unreasonable or unrealistic.”</i></p>
7.3	The remedy offer must clearly set out what will happen and by when, in agreement with the resident where appropriate. Any remedy proposed must be followed through to completion.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>  <a href="#">Standard Operating Procedure (abbeyfield.com)</a>	<p>As per section 3.6 <b>Putting things right</b> of the procedure: <i>“Where the investigation (Stage 1) or the subsequent review (Stage 2) identifies that a complaint should be upheld, the Investigating Officer or Reviewing Director should...Clearly outline the actions that Abbeyfield has or intends to take to put things right to the complainant; Ensure the required actions are taken through to completion.”</i></p>
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	<a href="#">complaints-concerns-and-compliments-policy.pdf (abbeyfield.com)</a>	<p>As per section 4.13 <b>Putting things right</b> of the policy: <i>“Where a complaint identifies</i></p>

			<p><i>that Abbeyfield has failed to deliver a service to the expected standard, we will seek to resolve the complaint and to 'put things right'. The redress offered will reflect the extent of any failure in the service provided and the subsequent impact on the complainant as a result. Where fault is identified, Abbeyfield will apologise and take corrective action, including, where appropriate, making a compensation payment."</i></p> <p>The Legal Team normally oversees any compensation offer related to a complaint case.</p>
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## Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	<p>Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include:</p> <ul style="list-style-type: none"> <li>a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements.</li> <li>b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a summary of the types of complaints the landlord has refused to accept;</li> <li>c. any findings of non-compliance with this Code by the Ombudsman;</li> <li>d. the service improvements made as a result of the learning from complaints;</li> <li>e. any annual report about the landlord's performance from the Ombudsman; and</li> <li>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</li> </ul>	Yes	<p>Our report can be found here: <a href="#">How to Complain   Complaints Process   Abbeyfield</a>)</p>	<p>The Annual Complaints Performance and Service Improvement Report is available to view on our website.</p>
8.2	The annual complaints performance and service improvement report must be	Yes	The Customer Committee response can be found in the	

	reported to the landlord's governing body (or equivalent) and published on the on the section of its website relating to complaints. The governing body's response to the report must be published alongside this.		Annual Complaint Handling & Service Improvement Report here: <a href="#">How to Complain   Complaints Process   Abbeyfield</a>	
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	N/A		
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	N/A		
8.5	If a landlord is unable to comply with the Code due to exceptional circumstances, such as a cyber incident, they must inform the Ombudsman, provide information to residents who may be affected, and publish this on their website Landlords must provide a timescale for returning to compliance with the Code.	N/A		

## Section 9: Scrutiny & oversight: continuous learning and improvement

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
9.1	Landlords must look beyond the circumstances of the individual complaint and consider whether service improvements can be made as a result of any learning from the complaint.	Yes		We have developed and implemented a complaint lessons learned form, allowing individual complaints to be examined to extract service improvements on completion of a complaint
9.2	A positive complaint handling culture is integral to the effectiveness with which landlords resolve disputes. Landlords must use complaints as a source of intelligence to identify issues and introduce positive changes in service delivery.	Yes	<a href="#">quarterly-complaints-report-april-2024.pdf (abbeyfield.com)</a>	Quarterly complaint handling reports are compiled and presented to the Customer Committee of the board
9.3	Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report back on wider learning and improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees.	Yes	<a href="#">quarterly-complaints-report-april-2024.pdf (abbeyfield.com)</a>	Quarterly complaint handling reports are compiled and presented to the Customer Committee of the board and from Summer 2024, we will be sharing this report with the Residents Panel
9.4	Landlords must appoint a suitably senior lead person as accountable	Yes	N/A	The Customer Quality Manager currently

	for their complaint handling. This person must assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.			oversees the organisations complaint handling approach and reports regularly to the Customer Committee & Residents Panel on our complaint handling performance
9.5	In addition to this a member of the governing body (or equivalent) must be appointed to have lead responsibility for complaints to support a positive complaint handling culture. This person is referred to as the Member Responsible for Complaints ('the MRC').	Yes	N/A	The Customer Operations Director is 'the MRC'
9.6	The MRC will be responsible for ensuring the governing body receives regular information on complaints that provides insight on the landlord's complaint handling performance. This person must have access to suitable information and staff to perform this role and report on their findings.	Yes	N/A	The Customer Operations Director is a member of the Customer Committee and presents insight on our complaint handling performance
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;	Yes	<a href="https://www.abbeyfield.com/quarterly-complaints-report-april-2024.pdf">quarterly-complaints-report-april-2024.pdf</a> ( <a href="https://www.abbeyfield.com">abbeyfield.com</a> )	Quarterly complaint handling reports are compiled and presented to the Customer Committee of the board

	<p>b. regular reviews of issues and trends arising from complaint handling;</p> <p>c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and</p> <p>d. annual complaints performance and service improvement report.</p>			
9.8	<p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <p>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</p> <p>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</p> <p>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</p>	Yes	<p><a href="https://www.abbeyfield.com/media/pwdbjeko/the-abbeyfield-society-code-of-conduct.pdf">https://www.abbeyfield.com/media/pwdbjeko/the-abbeyfield-society-code-of-conduct.pdf</a></p>	<p>We have attached our code of conduct which every Abbeyfield colleague embraces alongside specific targets on to promote cross-team partnership</p> <p>Complaints are responded to &lt;10 working days  Complaint satisfaction &gt;60% (TSM)  Complaints upheld at Stage 2 &lt;10%  Resident survey response &gt;60%.  Resident satisfaction overall &gt;90%  Resident satisfaction with</p>



				repairs >80%
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