

## Appendix A: Self-assessment form

This self-assessment form should be completed by the complaints officer and it must be reviewed and approved by the landlord's governing body at least annually.

Once approved, landlords must publish the self-assessment as part of the annual complaints performance and service improvement report on their website. The governing body's response to the report must be published alongside this.

Landlords are required to complete the self-assessment in full and support all statements with evidence, with additional commentary as necessary.

We recognise that there may be a small number of circumstances where landlords are unable to meet the requirements, for example, if they do not have a website. In these circumstances, we expect landlords to deliver the intentions of the Code in an alternative way, for example by publishing information in a public area so that it is easily accessible.

## 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	Section 4.1 of the Complaints, Concerns and Compliments policy  Section 2 of the Complaints Policy and Procedure	This is the definition we use for a complaint. We most recently adopted this definition in 2024.
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 in line with the landlord's complaints policy.	Yes	Sections 4.1, 4.4 of the Complaints, Concerns and Compliments policy  Section 2 of the Complaints Policy and Procedure	This is outlined in our Complaints, Concerns and Compliments policy and our Complaints Policy and Procedure.
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	Yes	Section 4.1 of the Complaints, Concerns and Compliments policy	This is outlined in our Complaints, Concerns and Compliments policy.

	recorded, monitored and reviewed regularly.			
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	Section 4.4 of the Complaints, Concerns and Compliments policy	<p>This is outlined in our Complaints, Concerns and Compliments policy.</p> <p>Our website gives a link to both our Complaints Officer and the Housing Ombudsman.</p> <p>Information is also available in the communal sitting room.</p>
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	Section 4.1 of the Complaints, Concerns and Compliments policy	<p>This is outlined in our Complaints, Concerns and Compliments policy.</p> <p>Our website gives a link to both our Complaints Officer and the Housing Ombudsman.</p> <p>Information is also available in the communal sitting room.</p>

## 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	Section 4.9 of the Complaints, Concerns and Compliments policy	<p>This is outlined in our Complaints, Concerns and Compliments policy.</p> <p>The procedure is also outlined in our Complaints Policy and Procedure (Stage 1 Investigation).</p>
2.2	<p>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:</p> <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> </ul>	Yes	<p>Sections 3, 4.1, 4.8, 4.9 of the Complaints, Concerns and Compliments policy</p> <p>Complaints Policy and Procedure (1 Context, aims and scope of this policy, and 3 Procedure: Stage 2 Review)</p>	<p>This is outlined in our Complaints, Concerns and Compliments policy.</p> <p>The procedure is also outlined in our Complaints Policy and Procedure (1 Context, aims and scope of this policy, and 3 Procedure: Stage 2 Review).</p>

	<ul style="list-style-type: none"> <li>Matters that have previously been considered under the complaints policy.</li> </ul>			
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	Section 4.9 of the Complaints, Concerns and Compliments policy	This is outlined in our Complaints, Concerns and Compliments policy.
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	Section 4.14 of the Complaints, Concerns and Compliments policy	This is outlined in our Complaints, Concerns and Compliments policy where we explain that we will continue to fully investigate the issues even where the outcome is unreasonable or unrealistic.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Section 4.14 of the Complaints, Concerns and Compliments policy	We will consider each complaint on its own merit and decide whether an exclusion is appropriate or whether discretion should be applied.



### 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	Section 4.4 of the Complaints, Concerns and Compliments policy (different channels)  Complaints Policy and Procedure Section 1 (Equality Act 2010)	This is outlined in our Complaints, Concerns and Compliments policy (different channels) and our Complaints Policy and Procedure (Equality Act 2010).
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	Section 4.4 of the Complaints, Concerns and Compliments policy  Complaints Policy and Procedure Section 1 (Procedure: Stage 1 Investigation)	We are accessible and accept complaints through all methods including, email, letter, phone or in person. Details are given in our Policies.  Our website also gives contact details for our Complaints Officer.
3.3	High volumes of complaints must not be seen as a negative, as they can be indicative of a well-publicised and accessible complaints process. Low complaint volumes are potentially a	Yes	Section 4.16 of the Complaints, Concerns and Compliments policy (Continuous learning and improvement)	We share any lessons learned and provide reports to Abbeyfield's Customer Committee.

	sign that residents are unable to complain.			
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	Section 4.9 of the Complaints, Concerns and Compliments policy (Handling Complaints)  Complaints Policy and Procedure Section 1 (Procedure: Stages 1 and 2)	This is outlined in our Complaints, Concerns and Compliments policy (Handling Complaints) and our Complaints Policy and Procedure ((Procedure: Stages 1 and 2).
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	Section 4.11 of the Complaints, Concerns and Compliments policy (The Ombudsman Service)  Website  Information pack in our communal sitting room (including a complaint form)	We publicise our complaints process through various means including an information pack given to residents on arrival at Abbeyfield, on our website and in our communal sitting room..
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	Section 4.4 of the Complaints, Concerns and Compliments policy (Making a Complaint)  Complaints Policy and Procedure Section 1 (Procedure: Stage 1)	We are happy to accept third party complaints on behalf of our residents, providing consent has been given to share information with the third party.



3.7	Landlords must provide residents with information on their right to access the Ombudsman service and how the individual can engage with the Ombudsman about their complaint.	Yes	Website and information pack in communal sitting room	Residents are made aware of how to contact the Housing Ombudsman in both our policies and on our website.
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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	We have a designated a Complaints Officer whose details are provided in our Policies and on our website. The Officer is a trustee of Abbeyfield.	We have a designated Complaints Officer whose details are provided in our Policies and on our website.
4.2	The complaints officer must have access to staff at all levels to facilitate the prompt resolution of complaints. They must also have the authority and autonomy to act to resolve disputes promptly and fairly.	Yes	Section 4.9 of the Complaints, Concerns and Compliments policy (Handling Complaints)  Complaints Policy and Procedure Section 3 (Our Complaints Process)	Our Complaints Officer is a trustee with intimate knowledge of Abbeyfield and with insight gained from working closely with staff and residents and being the child of a former resident.
4.3	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	No	The Abbeyfield ethos is one of enhancing the lives of, and making time for, older people. All our volunteer trustees adhere to this approach, in keeping with the ethos of our founder, Richard Carr-Gomm. We would always try to resolve complaints in a fair	We do prioritise complaint handling and a culture of learning from complaints. Our complaint handlers are provided with updated copies of the policy and procedures on complaint handling and are expected

			way, based on an understanding of human nature and a wish to enhance a resident's well-being.	to follow this when dealing with complaints with support from the relevant director. We do not currently deliver complaints handling training.
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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	Section 4.9 of the Complaints, Concerns and Compliments Policy (Handling Complaints)  Complaints Policy and Procedure Section 3 (Our Complaints Process)	Our policies cover each aspect of the complaint handling code. We would not treat our residents differently if they complained.
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	Complaints Policy and Procedure Section 3 (Our Complaints Process: Procedure)	We educate all employees at their staff induction on when to offer to log a complaint after signs of dissatisfaction are shown. We do not have any extra stages; only stage 1 and stage 2 as per our Complaints Policy.
5.3	A process with more than two stages is not acceptable under any circumstances as this will make the	Yes	Complaints Policy and Procedure Section 3 (Our Complaints Process: Procedure)	We only have two complaint stages.

	complaint process unduly long and delay access to the Ombudsman.			
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	Section 4.9 of the Complaints, Concerns and Compliments Policy (Handling Complaints)  Complaints Policy and Procedure Section 3 (Our Complaints Process)	We handle all of our complaints internally.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Section 4.9 of the Complaints, Concerns and Compliments Policy (Handling Complaints)  Complaints Policy and Procedure Section 3 (Our Complaints Process)	We do not have any third parties handling our complaints.
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	Section 4.9 of the Complaints, Concerns and Compliments Policy (Handling Complaints); 4.13 (Putting things right)  Complaints Policy and Procedure Section 3 (Our Complaints Process); 5 (Putting things right)	We explain our understanding of each complaint in the acknowledgement stage. We also mention the desired outcome, or if it has not been provided, we ask our residents to let us know what they are seeking as a resolution.
5.7	When a complaint is acknowledged at either stage, landlords must be clear	Yes	Section 4.14 of the Complaints, Concerns and Compliments	We let our residents know if something they have

	which aspects of the complaint they are, and are not, responsible for and clarify any areas where this is not clear.		Policy (Managing complainants' expectations and behaviour)	complained about is not something we are responsible for. In some cases, this might be an exclusion. If this relates to only a section of their complaint, we will let them know why we will not be investigating that element.
5.8	<p>At each stage of the complaints process, complaint handlers must:</p> <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	<p>Section 4.9 of the Complaints, Concerns and Compliments Policy (Handling Complaints)</p> <p>Complaints Policy and Procedure Section 3 (Our Complaints Process)</p>	<p>In keeping with our charitable ethos, our Complaints Officer will investigate fairly and impartially, considering all evidence provided.</p> <p>We are aware of the need to consider conflicts of interest including perceived ones. Our Chief Executive has overall responsibility for complaints received and will always intervene if there is any risk or suggestion that the correct procedures are not being adhered to.</p>
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	Yes	Section 4.10 of the Complaints, Concerns and Compliments Policy (Timescales)	We contact all residents if we are unable to respond within the timescales. We ask the resident if they would like to agree an

	keeping them informed about their complaint.			alternative date or escalate the complaint.
5.10	Landlords must make reasonable adjustments for residents where 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.	Yes	Sections 4.5 (Reasonable adjustments); 4.14 of the Complaints, Concerns and Compliments Policy (Managing complainants' expectations and behaviour)  Equality Act 2010	We record all known vulnerabilities on the records of residents.
5.11	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.	Yes	Section 4.9 of the Complaints, Concerns and Compliments Policy (Handling complaints) Complaints Policy and Procedure (Context, aims and scope of this Policy: exclusions)	We will not refuse a complaint unless an exclusion applies.
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	Section 4.9 of the Complaints, Concerns and Compliments Policy (Handling complaints)  Complaints Policy and Procedure (Complaint form)	Complaints are logged in a file kept in the manager's office (the Complaint log). A complaint form is available to residents in the communal sitting room and all subsequent details/developments will be logged on our computer system.
5.13	Landlords must have processes in place to ensure a complaint can be remedied at any stage of its complaints	Yes	Section 4.13 of the Complaints, Concerns and Compliments Policy (Putting things right)	Our Complaints Officer and CEO have the authority to make decisions on

	process. Landlords must ensure appropriate remedies can be provided at any stage of the complaints process without the need for escalation.		Complaints Policy and Procedure (Procedure)	remedies within their service area.  Our complaint handlers are aware of the importance of using the Ombudsman's remedies guidance when making decisions.  All responses are quality checked to ensure decisions are appropriate.
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	Anti-Social Behaviour Policy	We have an anti-social behaviour policy to deal with unreasonable behaviour.
5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.	Yes	Anti-Social Behaviour Policy	All cases will be considered on a case-by-case basis, taking into account the circumstances of the individual and any known protected characteristics.

## 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	Addressing a Complaint SOP (LG006P 10.1)  Complaints Policy and Procedure (Our Complaints Process)	Our Complaints Process is aimed at resolving complaints informally on the day a complaint is raised. Because of the communal nature of Abbeyfield, any problems can usually be addressed at once and dealt with to everyone's satisfaction.
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	Section 4.10 of the Complaints, Concerns and Compliments Policy (Timescales)	Because of the small, communal nature of Abbeyfield Ripon, we aim to complete this stage of the process within <b>two</b> working days of receipt of a complaint.



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	Section 4.10 of the Complaints, Concerns and Compliments Policy (Timescales)	This is detailed within our complaints policy and monitored on a daily basis to ensure the target is met.
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	Section 4.10 of the Complaints, Concerns and Compliments Policy (Timescales)	We have agreed that the Complaints Officer can inform us of a complex case as soon as possible and we will inform the resident. This is to allow the Officer time to consider the complexities and decide whether it is possible to respond within the expected timescales. If necessary, an extension letter will be sent, and the resident updated.
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	Section 4.11 of the Complaints, Concerns and Compliments Policy (The Ombudsman Service)  Complaints Policy and Procedure  Website (Housing Ombudsman contact details)	The Housing Ombudsman's details are provided in the extension letter we send out.  We provide contact details on our website and in our policies
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	Yes	Section 4.9 of the Complaints, Concerns and Compliments Policy (Handling Complaints)	Our Complaints Officer will list any outstanding actions in their complaint response, and respond once the

	the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident.		Complaints Policy and Procedure (Procedure)	determination can be given, not when actions are completed. If there is any possibility of a late response, we will provide the resident with an explanation.
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	Section 4.13 of the Complaints, Concerns and Compliments Policy (Putting things right)  Complaints Policy and Procedure (Procedure)	As well as attempting to 'put things right' as per our policy commitments, we abide by all the relevant legislation and guidance as referenced in Parts 7 and 8 of our Complaints, Concerns and Compliments Policy.
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	Section 4.9 of the Complaints, Concerns and Compliments Policy (Handling Complaints)	This is detailed in our complaints policy and is considered on a case-by-case basis, taking into account when the additional point was raised, the investigation required into the additional point, who is able to address the additional point and whether another complaint handler would be better placed to deal with the matter.  We will always try to add to an existing complaint unless

				it would delay the response going out after considering the above points.
6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul 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> </ul>	Yes	Section 4.13 of the Complaints, Concerns and Compliments Policy (Putting things right)	Although our policy does not contain full details of points a-g, our complaint handlers would adhere to this procedure in any confirmation letter or process.

### 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	Section 4.9 of the Complaints, Concerns and Compliments Policy (Handling Complaints)  Complaints policy and procedure (3 Our Complaints Process: Procedure)	We will accept any request to progress to stage 2, providing it does not meet the definition of an exclusion.

6.11	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.	Yes	Section 4.10 of the Complaints, Concerns and Compliments Policy (Timescales)	We monitor daily our acknowledgement timescales to ensure complaints are logged within five working days.
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 understand why a resident remains unhappy as part of its stage 2 response.	Yes	Section 4.9 of the Complaints, Concerns and Compliments Policy (Handling Complaints)  Complaints policy and procedure (3 Our Complaints Process: Procedure)	We will log and acknowledge stage 2 complaints, even if a reason has not been given. We will contact the resident to find out why they remain dissatisfied.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Section 4.9 of the Complaints, Concerns and Compliments Policy (Handling Complaints)  Complaints policy and procedure (3 Our Complaints Process: Procedure)	At stage 2, the investigation will be subject to a full review by the Chair of the Trustees
6.14	Landlords must issue a final response to the stage 2 <b><u>within 20 working days</u></b> of the complaint being acknowledged.	Yes	Section 4.10 of the Complaints, Concerns and Compliments Policy (Timescales)  Complaints policy and procedure (3 Our Complaints Process: Procedure)	This is detailed within our complaints policy and monitored on a daily basis to ensure the target is met.
6.15	Landlords must decide whether an extension to this timescale is needed when considering the complexity of the	Yes	Section 4.10 of the Complaints, Concerns and Compliments Policy (Timescales)	This is detailed within our complaints policies.

	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.		Complaints policy and procedure (3 Our Complaints Process: Procedure)	
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	Section 4.11 of the Complaints, Concerns and Compliments Policy (The Ombudsman Service)	The Housing Ombudsman's details are provided in the extension letter we send out. Details are also provided on our website and in our policies.
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.	Yes	Section 4.9 of the Complaints, Concerns and Compliments Policy (Handling Complaints) and 4.13 (Putting things right)  Complaints policy and procedure (3 Our Complaints Process: Procedure; 5 Putting things right)	Our complaint handlers will list any outstanding actions in their complaint response, and respond once the determination can be given, not when actions are completed. The outstanding actions are monitored by our complaint handlers.
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	Section 4.9 of the Complaints, Concerns and Compliments Policy (Handling Complaints) and 4.13 (Putting things right)  Complaints policy and procedure (3 Our Complaints Process: Procedure; 5 Putting things right)	As well as attempting to 'put things right' as per our policy commitments, we abide by all the relevant legislation and guidance as referenced in Parts 7 and 8 of our Complaints, Concerns and Compliments Policy.

6.19	<p>Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:</p> <ul 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> </ul>	Yes	<p>Section 4.9 of the Complaints, Concerns and Compliments Policy (Handling Complaints)</p> <p>Complaints policy and procedure (3 Our Complaints Process: Procedure)</p>	<p>Although our policy does not contain full details of points a-g, our complaint handlers would adhere to this procedure at the completion of stage 2.</p>
6.20	<p>Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.</p>	Yes	<p>Section 4.9 of the Complaints, Concerns and Compliments Policy (Handling Complaints)</p> <p>Complaints policy and procedure (3 Our Complaints Process: Procedure)</p>	<p>To ensure fairness and impartiality, the complaints handler at stage 2 is the Chair of the Trustees, and not the Complaints Officer at stage 1</p>

## Section 7: Putting things right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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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, 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>	Yes	<p>Section 4.13 of the Complaints, Concerns and Compliments Policy (Putting things right)</p> <p>Complaints policy and procedure (5 Putting things right)</p>	We use all of these remedies, as stated within our policies.
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	<p>Section 4.13 of the Complaints, Concerns and Compliments Policy (Putting things right)</p> <p>Complaints policy and procedure (5 Putting things right)</p>	Our policies include the taking of corrective action, apologies and, where appropriate, financial compensation.
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	Section 4.13 of the Complaints, Concerns and Compliments Policy (Putting things right)	Our complaints handlers are instructed to follow all Housing Ombudsman guidance in this matter.

			Complaints policy and procedure (5 Putting things right)	
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	<p>Section 4.11 of the Complaints, Concerns and Compliments Policy (The Ombudsman Service)</p> <p>Complaints policy and procedure (4 After conclusion of our complaints service)</p>	Our complaints handlers are instructed to follow all Housing Ombudsman guidance in this matter. Our policies confirm that we will co-operate with the Housing Ombudsman at all times.



## Section 8: Putting things right

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	Annual complaints performance and service improvement report	We have completed the annual complaints and service improvement report. This is on our website in an accessible format for customers (Word doc and pdf).

8.2	The annual complaints performance and service improvement report must be 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.	Yes	The governing body's response to the report	We have completed the governing body's response to the report. This is on our website in an accessible format for customers (Word doc and pdf).
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	N/A	N/A	N/A
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes	No evidence as no request has been made to review and update	We have not been asked to carry out a review of the self-assessment by the Housing Ombudsman following an investigation. If we were, we would complete this.
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	N/A	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	Section 4.16 of the Complaints, Concerns and Compliments Policy (Continuous learning and improvement)  Learning Lessons policy (LG045P)	If an investigation uncovers significant findings, we will undertake a review in line with Abbeyfield England's Learning Lessons policy (LG045P) and share any findings with Abbeyfield's Corporate Health, Safety and Quality Committee.
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	Section 4.16 of the Complaints, Concerns and Compliments Policy (Continuous learning and improvement)	We understand the true value in a complaint by seeing it as an opportunity to learn and improve our services.
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.	No		We already report back to individual residents on matters of service improvement as appropriate, and include information in our annual report. In future we will share more detailed information where we have learnt lessons and

				where systems and processes have changed.
9.4	Landlords must appoint a suitably senior lead person as accountable 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.	Yes	Complaints policy and procedure (6 Reporting on complaints)	One of our trustees takes on the role of Complaints Officer and will assess themes/trends etc to identify any lessons that can be learned.
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 MRC for Abbeyfield Ripon is our Chief Executive.
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 Chief Executive provides the Board of Trustees with updates of complaints.
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,	Yes	N/A	Where there is a significant matter, or complaint, we will discuss the details at our Board of Trustees' meetings.

	<p>alongside complaint handling performance;</p> <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	N/A	<p>Although we have no specific code of conduct, all our staff are reminded of the need to deal with residents sensitively and with an understanding of their needs. Given the communal, charitable and more intimate nature of Abbeyfield Ripon, we foster a friendly, all-inclusive approach that means we all work together, accept responsibility and do not pass blame. Our founder’s ethos, ‘making time for older people’, underpins everything we do.</p>