

Self-assessment form

This self-assessment form was completed by the Business Support Manager, and reviewed by the Chief Executive to meet our statutory requirements and was completed in October 2024.

We will be creating an annual complaint's performance and service improvement report that will be published on our website.

While it's positive to see the progress we have made over the last year, the Quality Governance Committee are committed to making changes to how we record and manage complaints, and in raising awareness to all staff to ensure all complainants are treated consistently and fairly in line with policy. We will be working towards embedding 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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to section 4.1.1. 'Definition of a Complaint', paragraph 2.
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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to section 4.1.1. 'Definition of a Complaint', paragraph 3. Refer to section 4.2.1. 'Methods of making a complaint', paragraph 2, bullet 4.

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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to section 4.1.1. 'Definition of a Complaint', paragraph 6 & 7.
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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to section 4.1.1. 'Definition of a Complaint', paragraph 2. Any expression of dissatisfaction will follow the complaints process.
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>Example survey results: https://abbeyfieldthedales.co.uk/wp-content/uploads/2023/12/Resident-Survey-2023-Grove-House-Extra-Care.pdf</p> <p>Comments-Compliments-Complaints-LG006P-Oct-24.pdf</p> <p>Example handbook:</p>	<p>Abbeyfield the Dales perform a resident survey annually, within this survey resident are asked if they know how to make a complaints and confident they are Abbeyfield The Dales will resolve the complaint to their satisfaction, section 8 'Your Say', and addressed in the open questions responses.</p> <p>A copy of our complaints policy and procedures is displayed on all resident notice boards at all properties.</p> <p>How to make a complaint is also covered in the Resident Handbook</p>

			https://abbeyfieldthedales.co.uk/wp-content/uploads/2024/10/Resident-Handbook-GHS-Web-version.pdf	<p>supplied to all residents when they move in.</p> <p>We are also planning to produce an Annual Report to support the rent and service charge review process which also details the complaints process (under review no example available)</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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to section 4.1.1. 'Definition of a Complaint', paragraph 5.
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"> The issue giving rise to the complaint occurred over twelve months ago. 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. 	Yes	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	<p>Refer to section 3.1. 'Exclusions, and all sub sections 3.1.1 – 3.1.6.</p> <p>Refer to section 4.2.5 'Time Limits'.</p> <p>Refer to sections 3.1.5. 'Complaints & insurance claims' & 3.1.6. 'Legal Proceedings'</p>

	Matters that have previously been considered under the complaints policy.			
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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to section 4.2.5 'Time Limits'. <i>'Complaints should be made as soon as possible after the date on which the issue occurred, or came to the complainant's notice, and ideally no more than 12 months after that date.'</i>
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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to section 3.1. 'Exclusions', last 3 paragraphs. Refer to section 4.3.3. 'Appeals' for details of the Ombudsman Service.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to section 2. 'Objectives', paragraph 2.

Section 3: Accessibility & 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	Yes	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to section 4.2.1. 'Methods for making a complaint'.

	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.			Refer to 4.2.2. 'Reasonable adjustments'. All staff are required to complete both Equality & Diversity, and The Accessible Information Standard training which is refreshed every 3 years in accordance with Skills for Care guidance.
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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to section 4.2. 'How to make a complaint'.
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 sign that residents are unable to complain.	Yes	Comments-Compliments-Complaints-LG006P-Oct-24.pdf Example survey results: https://abbeyfieldthedales.co.uk/wp-content/uploads/2023/12/Resident-Survey-2023-Grove-House-Extra-Care.pdf Example Resident handbook: https://abbeyfieldthedales.co.uk/wp-content/uploads/2024/10/Resident-Handbook-GHS-Web-version.pdf	A copy of our complaints policy and procedures is displayed on all resident notice boards at all properties. We have regular resident service meeting and actively encourage residents to share their views. We also ask our residents if they are aware of how to make a complaint in our annual survey. How to make a complaint is also covered in the Resident Handbook supplied to all residents when they move in.

3.4	<p>Landlords must make their complaint policy available in a clear and accessible format for all residents.</p> <p>This will detail the two-stage process, what will happen at each stage, and the timeframes for responding.</p> <p>The policy must also be published on the landlord’s website.</p>	<p>Yes</p> <p>Yes</p> <p>Yes</p>	<p>Comments-Compliments-Complaints-LG006P-Oct-24.pdf</p> <p>Example Resident handbook: https://abbeyfieldthedaes.co.uk/wp-content/uploads/2024/10/Resident-Handbook-GHS-Web-version.pdf Complaints Process - Abbeyfield</p>	<p>A copy of our complaints policy and procedures which contains all information is displayed on all resident notice boards at all properties.</p> <p>How to make a complaint is also covered in the Resident Handbook supplied to all residents when they move in.</p> <p>Site available on the link provided.</p>
3.5	<p>The policy must explain how the landlord will publicise details of the complaints policy, including information about the Ombudsman and this Code.</p>	<p>Yes</p>	<p>Comments-Compliments-Complaints-LG006P-Oct-24.pdf</p> <p>Example Resident handbook: https://abbeyfieldthedaes.co.uk/wp-content/uploads/2024/10/Resident-Handbook-GHS-Web-version.pdf Complaints Process - Abbeyfield (abbeyfieldthedaes.co.uk)</p>	<p>A copy of our complaints policy and procedures which contains all information is displayed on all resident notice boards at all properties.</p> <p>How to make a complaint is also covered in the Resident Handbook supplied to all residents when they move in.</p> <p>Guidance can also be found on our website.</p>
3.6	<p>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.</p>	<p>Yes</p>	<p>Comments-Compliments-Complaints-LG006P-Oct-24.pdf</p>	<p>Refer to section 4.2.1. ‘Methods of making a complaint’, paragraph 2, bullet 4.</p>
3.7	<p>Landlords must provide residents with information on their right to access the Ombudsman service and how the</p>	<p>Yes</p>	<p>Comments-Compliments-Complaints-LG006P-Oct-24.pdf</p>	<p>Refer to section 4.3.3. ‘Appeals’ for details of the Ombudsman Service.</p>

	individual can engage with the Ombudsman about their complaint.			
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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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to section 4.5. 'Responsibilities'. ATD's Complaints Officer is the Quality Manager and is responsible for coordinating the complaints process.
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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to section 4.5. 'Responsibilities'. ATD's Complaints Officer is the Quality Manager and is responsible for coordinating the complaints process.
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	https://abbeyfieldthedales.co.uk/wp-content/uploads/2024/06/Employee-Handbook-29.04.2024.pdf	All management is provided with updated copies of the policy and procedures and expected to follow this when dealing with complaints with support from the relevant director. We do not currently deliver complaints handling training.

				<p>However, all staff are provided with an employee handbook which states: <i>'Complaints and compliments are the basic means of expressing satisfaction or dissatisfaction with the services that we provide. As the person who is in daily contact with a residents you are likely to be the one that they first communicate with, and it is therefore imperative that all feedback is relayed back to management for review and any appropriate actions. The procedures to follow relate to all complaints and compliments received in writing and those made verbally, and you will be expected to maintain proper records in accordance with the Complaints Policy and procedures.'</i></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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	<p>ATD follow one policy for all complainants, from all service types and locations. Our policy is inclusive, we deal all complaints consistently, and we encourage complaints and feedback as they help our organisation to grow.</p> <p>Refer to Appendix 1, Section 2:</p> <p><i>'We will ensure that residents, service users, volunteers, applicants and other stakeholders are aware of their right to</i></p>

				<i>complain and feel comfortable about raising concerns and complaints without fear of retribution.'</i>
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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to sections 4.3.1. 'Principles of ATD's Complaint Handling'. ATD have a 2-stage process for dealing with complaints as detailed in sections '4.3.2.1. Stage 1', and '4.3.2.2. Stage 2'. We endeavour to resolve complaints as quickly as possible.
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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	ATD have a 2-stage process for dealing with complaints as detailed in sections '4.3.2.1. Stage 1', and '4.3.2.2. Stage 2'. We endeavour to resolve complaints as quickly as possible.
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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	ATD have a 2-stage process for dealing with complaints as detailed in sections '4.3.2.1. Stage 1', and '4.3.2.2. Stage 2'. We endeavour to resolve complaints as quickly as possible.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	ATD have a 2-stage process for dealing with complaints as detailed in sections '4.3.2.1. Stage 1', and '4.3.2.2. Stage 2'. We endeavour to resolve complaints as quickly as possible and will work with any third party working on our behalf within this process.

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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to Appendix 1, Section 6.1. Acknowledgement. Bullet 3.
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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to Appendix 1, Section 6.1. Acknowledgement. Bullet 3.
5.8	At each stage of the complaints process, complaint handlers must: <ul style="list-style-type: none"> a. deal with complaints on their merits, act independently, and have an open mind; b. give the resident a fair chance to set out their position; c. take measures to address any actual or perceived conflict of interest; and d. consider all relevant information and evidence carefully. 	Yes	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to Appendix 1, Section 6.3. Investigating the Complaint. This details 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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to Appendix 1, Section 6.3. Investigating the Complaint. <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,</i>

				<i>prior to confirming the agreed revised timescale in writing'</i>
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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to Section 6.3. Reasonable Adjustments. All staff are required to complete both Equality & Diversity, and The Accessible Information Standard training which is refreshed every 3 years in accordance with Skills for Care guidance.
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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to Appendix 1, Section 7, Stage 2: Review of the complaint and subsequent investigation by a Director. <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 Director detailed in the Stage 1 final response letter (by any means), detailing the reasons for their outstanding dissatisfaction.'</i>
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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to section 4.3 Handling complaints. <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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Complaints can be concluded at any stage of the complaints process so long as the complainant is satisfied the complaint has been resolved.
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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf https://abbeyfieldthedaes.co.uk/wp-content/uploads/2022/02/Anti-Social-Behaviour-R002P-Mar-22.pdf	Refer to section 4.5. Managing Complainants' Expectations and Behaviour. Unacceptable behaviour will be managed in line with ATD's Anti-Social Behaviour policy.
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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf https://abbeyfieldthedaes.co.uk/wp-content/uploads/2022/02/Anti-Social-Behaviour-R002P-Mar-22.pdf	Refer to section 4.5. Managing Complainants' Expectations and Behaviour. Unacceptable behaviour will be managed in line with ATD's Anti-Social Behaviour policy.

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.	Yes	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to Appendix 1: 'Handling Timescales'. <i>'Written acknowledgement within two working days of receipt of the complaint.'</i>

	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.			
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <u>within five working days of the complaint being received.</u>	Yes	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to section 4.3.2. 'Handling Timescales'. <i>'Written acknowledgement within two working days of receipt of the complaint.'</i>
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to section 4.3.2.1. 'Stage 1'. <i>'A full written response will be provided within 10 working days of the acknowledgement.'</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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to Appendix 1, Section 6.3. Investigating the Complaint. <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 the agreed revised timescale in writing'</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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to Appendix 1, Section 6.3. Investigating the Complaint. <i>'Where agreement over an extension period of more than 10 working cannot be reached, the relevant Ombudsman's details will be provided so the complainant can challenge our</i>

				<i>plan for responding and/or the proposed timeliness of our response'</i>
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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to Appendix 1, Section 6.6. Final Response. This details what should be included in the resolution letter/communication.
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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to Appendix 1, Section 6.4. Collecting & reviewing Evidence. <i>'Once collated, the evidence should be reviewed against:</i> <ul style="list-style-type: none"> • <i>ATD policies and procedures</i> • <i>Relevant legislation and regulations, where applicable</i> • <i>Resident information and literature'</i>
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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to Appendix 1, Section 6. Additional complaints. <i>'Where residents raise additional complaints during the investigation these will be incorporated into the Stage 1 response if they are relevant and the Stage 1 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>

6.9	Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.	Yes	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to Appendix 1, Section 6.6. Final Response. This details what should be included in the resolution letter/communication.
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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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to Section 4.3.1. Principles of ATD's Complaints Process are: <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 and the reason(s) why.'</i>
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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to appendix 1, Section 7. Stage 2: Review of the complaint and subsequent investigation by a Director <i>'The Director, known as the Reviewing Director, will send a written acknowledgement of escalation to the</i>

				<i>complainant(s) within five working days of receipt of the request.'</i>
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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to appendix 1, Section 7. Stage 2: Review of the complaint and subsequent investigation by a Director <i>'The Director, known as the Reviewing Director, will send a written acknowledgement of escalation to the complainant(s) within five working days of receipt of the request. The Reviewing Director is expected to:</i> <ul style="list-style-type: none"> • <i>Seek clarity from the complainant, if there is uncertainty about what aspects of the complaint have not been resolved or what outcome they are seeking from the review'</i>
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to Section 4.3.1. Principles of ATD's Complaints Process are: <i>'The person considering the complaint at Stage 2 will not be the same person that considered the complaint at Stage 1.'</i>
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to section 4.3.2.2. Handling timescales - Stage 2 <i>'A full written response will be provided within 15 working days from the request to escalate.'</i> Also detailed in Appendix 1, Section 7. Stage 2: Review of the complaint and subsequent investigation by a Director, bullet 4.

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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to Appendix 1, Section 6.3. Investigating the Complaint. <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 the agreed revised timescale 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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to Appendix 1, Section 6.3. Investigating the Complaint. <i>'Where agreement over an extension period of more than 10 working cannot be reached, the relevant Ombudsman's details will be provided so the complainant can challenge our plan for responding and/or the proposed timeliness of our response'</i>
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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to appendix 1, Section 7. Stage 2: Review of the complaint and subsequent investigation by a Director <i>'Regardless of the findings, the response letter must include:</i> <ul style="list-style-type: none"> •The outcome of the review. •Whether the complaint has been fully, partially or not upheld. •Any further action that has or will be taken, if appropriate. •Confirmation that the internal complaints procedure has now concluded. •Details of how to escalate the complaint if the complainant remains

				<p><i>dissatisfied – by contacting the relevant Ombudsman and requesting a review, if appropriate.</i></p> <p>Also refer to section Appendix 1, Section 9, Putting things right. Paragraph 2.</p>
6.18	<p>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.</p>	Yes	<p>Comments-Compliments-Complaints-LG006P-Oct-24.pdf</p>	<p>Refer to Appendix 1, Section 6.4. Collecting & reviewing Evidence. <i>'Once collated, the evidence should be reviewed against:</i></p> <ul style="list-style-type: none"> • <i>ATD policies and procedures</i> • <i>Relevant legislation and regulations, where applicable</i> • <i>Resident information and literature'</i> <p>Also refer to Appendix 1, Section 6.6 Final response for details of what should be included in the final response letter/communication.</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"> a. the complaint stage; b. the complaint definition; c. the decision on the complaint; d. the reasons for any decisions made; e. the details of any remedy offered to put things right; f. details of any outstanding actions; and g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied. 	Yes	<p>Comments-Compliments-Complaints-LG006P-Oct-24.pdf</p>	<p>Refer to Appendix 1, Section 6.6. Final Response</p> <p><i>'On conclusion of the investigation, the final response letter should include:</i></p> <ul style="list-style-type: none"> • <i>Details of the findings.</i> • <i>Whether the complaint has been fully, partially or not upheld.</i> • <i>Any action that has been taken.</i> • <i>Our proposals to resolve the complaint; and</i> • <i>Details of how to escalate the complaint if the complainant remains dissatisfied, including the contact</i>

				<i>details of the relevant Director who will handle Stage 2 of the complaint.</i> •The contact details for the Ombudsman, if relevant for the complainant.'
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to Appendix 1, Section 6.3. Investigating the complaint sets out the responsibilities of the Investigating Officer.

Section 7: Putting Things Right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	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: <ul style="list-style-type: none"> • Apologising; • Acknowledging where things have gone wrong; • Providing an explanation, assistance or reasons; • Taking action if there has been delay; • Reconsidering or changing a decision; • Amending a record or adding a correction or addendum; • Providing a financial remedy; • Changing policies, procedures or practices. 	Yes	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to Appendix 1, Section 9. Putting things right. This details the reasons where things can go wrong and the actions to be taken, including: <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:</i> •Ensure the failure is acknowledged. •Notify the relevant manager of the findings and the recommendations to remedy the issue. •Clearly outline the actions that ATD has or intends to take to put things right to the complainant. •Ensure the required actions are taken through to completion.'

7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	<p>Refer to Appendix 1, Section 9. Putting things right. This details the reasons where things can go wrong and the actions to be taken, including: <i>'The specific actions that may be taken include:</i></p> <ul style="list-style-type: none"> • <i>Providing an apology to the complainant</i> • <i>Providing information or an explanation to the complainant.</i> • <i>Reviewing resident literature (leaflets, posters etc.)</i> • <i>Reviewing an operational process.</i> • <i>Reviewing a contractual agreement with a third party supplier.</i> • <i>Requesting a review of a policy.</i> • <i>Arranging training or guidance for staff members involved.'</i> <p>Also Section 6.3 Investigating the complaint. <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	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	<p>Refer to Appendix 1, Section 9. Putting things right. This details the reasons where things can go wrong and the actions to be taken, including: <i>'Where the investigation (Stage 1) or the subsequent review (Stage 2)</i></p>

				<p><i>identifies that a complaint should be upheld, the Investigating Officer or Reviewing Director should:</i></p> <ul style="list-style-type: none"> •<i>Ensure the failure is acknowledged.</i> •<i>Notify the relevant manager of the findings and the recommendations to remedy the issue.</i> •<i>Clearly outline the actions that ATD has or intends to take to put things right to the complainant.</i> •<i>Ensure the required actions are taken through to completion.'</i>
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	Comments-Compliments-Complaints-LG006P-Oct-24.pdf	Refer to policy section 8.1 Working with the Ombudsman. 'ATD will take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.'

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> <ol style="list-style-type: none"> a. the annual self-assessment against this Code to ensure their complaint handling policy remains in line with its requirements. b. a qualitative and quantitative analysis of the landlord's complaint handling performance. This must also include a 	No		Part of our evolution will be to create, review and publish an annual complaint's performance and service improvement report. The report will be reviewed by the Quality Governance Committee, and the report published on our website. In the meantime, we will be providing some complaints information to residents through our annual report sent to residents, and our complaints levels and handling process is

	<p>summary of the types of complaints the landlord has refused to accept;</p> <p>c. any findings of non-compliance with this Code by the Ombudsman;</p> <p>d. the service improvements made as a result of the learning from complaints;</p> <p>e. any annual report about the landlord's performance from the Ombudsman; and</p> <p>f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.</p>			monitored by the Quality Governance Committee through our monthly KPI report.
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.	No		See 8.1 above.
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 investigations have taken place.	In the event of an investigation the Quality Manager will work alongside the Chief Executive to review this assessment.
8.5	If a landlord is unable to comply with the Code due to exceptional circumstances,	N/A	N/A	N/A

	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.			
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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	Comments-Compliments-Complaints-LG006P-Jan-22.pdf (abbeyfieldthedaes.co.uk)	Refer to appendix 2: Complaints Learning Log. All complaints are reviewed action recorded in the learning log, these are monitored by the Quality Manager.
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	Comments-Compliments-Complaints-LG006P-Jan-22.pdf (abbeyfieldthedaes.co.uk)	Refer to policy section 4.10. Continuous Learning & Improvement.
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	Yes	N/A	The Quality Manager is accountable for ensuring the complaints handling

	complaint handling. This person must assess any themes or trends to identify potential systemic issues, serious risks, or policies and procedures that require revision.			process is followed and identifies trends and themes that require attention. Any actions are completed with input from the relevant Manager (E.g. H&S Manager, BSM) and Senior Leadership Team.
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 MRS for ATD is the 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 and Director of Operations provide both the Quality Governance Committee and ATD Board of Trustees with updates of complaints.
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: <ul style="list-style-type: none"> a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance; b. regular reviews of issues and trends arising from complaint handling; c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with 	No		We share complaints information and performance with our Quality Governance Committee and the Board through our monthly KPI report. Where there is a significant matter, or complaint we will discuss the details with the Committee and Board at their meetings, along with actions being taken.

	orders related to severe maladministration findings; and annual complaints performance and service improvement report.			
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> <ul style="list-style-type: none"> a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments; b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and c. act within the professional standards for engaging with complaints as set by any relevant professional body. 	Yes	https://abbeyfieldthedales.co.uk/wp-content/uploads/2024/10/ATD-Code-of-Conduct.pdf	The code of conduct for staff has been developed and communicated to all staff. This clearly sets out our expectation of staff in their conduct when dealing with others and when addressing concerns. We have evolved our policy to ensure there is clarity in how we manage complaints and clear roles and responsibilities; this policy is being embedded within our organisation, and this will continue.