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: *'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.'*	Yes	**Complaints, Concerns and Compliments Policy**	As per section **4.1. Definition of a Complaint** 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 in line with the landlord's complaints policy.	Yes	**Complaints, Concerns and Compliments Policy**	As per section **4.1. Definition of a Complaint** 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. 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 Living Society or those working for us

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	**Complaints, Concerns and Compliments Policy**	As per section **4.1. Definition of a Complaint** 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	**Complaints, Concerns and Compliments Policy**	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	50794-als-social-rent-survey-2025.pdf	The annual Housing Residents' Satisfaction Survey is anonymous – however, there is space for respondents to provide their name and the name of their service ("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") and the Complaints process would then be offered, as appropriate. 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

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	**Complaints, Concerns and Compliments Policy**	As per section **4.1. Definition of a Complaint** of the policy: "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.
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: • 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	**Complaints, Concerns and Compliments Policy**	As per section 3. Scope of the policy: "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 hat decision to the relevant Ombudsman, as applicable."

	• 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	**Complaints, Concerns and Compliments Policy**	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	**Complaints, Concerns and Compliments Policy**	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	**Complaints, Concerns and Compliments Policy**	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	**Complaints, Concerns and Compliments Policy**	As per section 4.5 Reasonable adjustments of the policy: "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. 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	**Complaints, Concerns and Compliments Policy**	As per section 4.4 Making a Complaint 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 complaints process. Low complaint volumes are potentially a	Yes	**Making a Complaint Guide**	We publish our 'Making a Complaint' guide on our website and have copies in all our locations for residents which residents can collect

	sign that residents are unable to complain.			without having to ask for a copy. 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	**Complaints, Concerns and Compliments Policy** **Making a Complaint Guide**	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	**Complaints, Concerns and Compliments Policy**	A copy of our 'Making a Complaint Guide' 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 Living Society website Compliments and Complaints | Abbeyfield Living Society
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	**Complaints, Concerns and Compliments Policy**	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 access the Ombudsman service and how the	Yes	**Making a Complaint Guide**	A copy of our Making a Complaint Guide is provided to all prospective residents,

	individual can engage with the Ombudsman about their complaint.			provided prominently at our services, and a downloadable copy is available via the complaints section of the Abbeyfield website Compliments and Complaints | Abbeyfield Living Society

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	**Complaints, Concerns and Compliments Policy**	as per section 4.15 Responsibilities of the policy: "The central complaints process is administered through the Complaints Officer, who has delegated responsibility from the Customer Operations Director. The Complaints Officer is the Complaints Manager."
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	**Complaints, Concerns and Compliments Policy**	As per section 4.15 Responsibilities of the policy: "The Complaints Officer will 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. " While Regional Operations Managers handle complaints for their services, we would reallocate complaints to alternative

				investigators where a conflict of interest is identified
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	Yes	Complaints Handling PDF.docx	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 complaints are suitable to do so. A mandatory e-learning training course on complaints handling remains in place

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	**Complaints, Concerns and Compliments Policy**	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	Yes	**Complaints, Concerns and Compliments Policy**	We operate a two-stage complaints policy to support early and local resolution to support effective complaint handling

	complaint') as this causes unnecessary confusion.			
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	**Complaints, Concerns and Compliments Policy**	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	**Complaints, Concerns and Compliments Policy**	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	**Complaints, Concerns and Compliments Policy**	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,	Yes	**Complaints, Concerns and Compliments Policy** **Addressing a Complaint Standard Operating Procedure**	As per our procedure: "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

	the resident must be asked for clarification.			be asked for clarification and the full definition agreed between both parties"
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	**Complaints, Concerns and Compliments Policy** **Addressing a Complaint Standard Operating Procedure**	As per our procedure: "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."
5.8	At each stage of the complaints process, complaint handlers must: 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	**Complaints, Concerns and Compliments Policy** **Addressing a Complaint Standard Operating Procedure**	Section 3.3.3 Investigating a Complaint 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	Yes	**Complaints, Concerns and Compliments Policy** **Addressing a Complaint Standard Operating Procedure**	Section 3.3.3 Investigating a Complaint of the procedure: "In the event that more than 10 working days is required, the Investigating Officer

	resident suitable intervals for keeping them informed about their complaint.			should contact the complainant and seek their agreement on the new timescale, prior to confirming in writing
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	**Complaints, Concerns and Compliments Policy**	As per section 4.5 Reasonable adjustments of the policy: "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. All staff are required to undertake mandatory Equality, Diversity, and Inclusion training.
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	**Complaints, Concerns and Compliments Policy**	Section 3.4 Stage 2: Review of the complaint and subsequent investigation by a Director of the procedure: "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)
5.12	A full record must be kept of the complaint, and the outcomes at each	Yes	**Complaints, Concerns and Compliments Policy**	As per section 4.9 Handling Complaints of the policy: "All

	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.			complaints received and subsequently investigated will be recorded fully in the Complaints Log and a copy of relevant documentation kept.”
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	**Complaints, Concerns and Compliments Policy**	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	**Complaints, Concerns and Compliments Policy**	Section 4.14 Managing complainants’ expectations and behaviour of policy: “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, 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."
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	**Complaints, Concerns and Compliments Policy**	Section 4.14 Managing complainants' expectations and behaviour of policy: "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, 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."

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	**Complaints, Concerns and Compliments Policy** **Addressing a Complaint Standard Operating Procedure**	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 **within five working days of the complaint being received**.	Yes	**Complaints, Concerns and Compliments Policy**	As per section 4.10 Timescales of the policy "Written acknowledgement within two working days of receipt of the complaint", which is monitored as a Complaints Handling KPI. In 2025, 98% of complaints were acknowledged within two working days in line with our policy. Where our policy was not met, 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 **within 10 working**	Yes	**Complaints, Concerns and Compliments Policy**	As per section 4.10 Timescales of the policy:

	days of the complaint being acknowledged.			"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."
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	**Complaints, Concerns and Compliments Policy**	As per section 4.10 Timescales of the policy: "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."
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	**Complaints, Concerns and Compliments Policy**	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	Yes	**Complaints, Concerns and Compliments Policy** **Addressing a Complaint Standard Operating Procedure**	A complaint response is provided to the complainant with the findings and agreed actions to remedy the complaint – with actions tracked to ensure fully

	actioned promptly with appropriate updates provided to the resident.			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	**Complaints, Concerns and Compliments Policy** **Addressing a Complaint Standard Operating Procedure**	Section 3.3.3.2 Reviewing the evidence of the procedure: “Once collated, the evidence should be reviewed against: • TAS policies and procedures • Relevant legislation and regulations, where applicable • Resident information and literature” Section 3.3.3.4 Final response of the procedure states: “The final response letter should include: details of the findings” The Stage 1 template response letter has a section for the findings to be detailed. The Complaints Officer monitors complaint responses whenever possible to ensure these

				cover all relevant points before issue.
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	**Complaints, Concerns and Compliments Policy** **Addressing a Complaint Standard Operating Procedure**	As per section 3.3.3.3 Additional complaints of the procedure: "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 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."
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;	Yes	**Complaints, Concerns and Compliments Policy** **Addressing a Complaint Standard Operating Procedure**	As per section 3.3.3.4 Final response of the procedure: "The final response letter should include: • details of the findings; • any action that has been taken; • our proposals to resolve the complaint (see 'Putting things right'); and • details of how to escalate the complaint if the

	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 stage 2 if the individual is not satisfied with the response.			complainant remains dissatisfied • the contact details for the Ombudsman, if relevant for the complainant." 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.

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	**Complaints, Concerns and Compliments Policy**	As per section 4.9 of the Handling Complaints of the policy: "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'." Where a complainant expresses dissatisfaction with the Stage

				1 response, the complaint case will be escalated to Stage 2 without the complainant making a specific request. 8% of Housing complaints received and responded to at Stage 1 in 2024 were escalated to Stage 2. There were no cases this year where Abbeyfield declined to escalate a complaint
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	**Complaints, Concerns and Compliments Policy** **Addressing a Complaint Standard Operating Procedure**	As per section 3.4 Stage 2: Review of the complaint and subsequent investigation by a Director of the procedure: “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.” The standard acknowledgement of escalation letter states: “We understand that your outstanding dissatisfaction relates to < details to be

				added, e.g. the Stage 1 response failing to provide adequate compensation for the delay in undertaking repairs to your bathroom. > We understand that you would like < e.g. further compensation and an apology in recognition of the manner in which the situation has been handled >. If the above is not an accurate summary of the reason for the request to escalate your complaint, please let us know via complaints@abbeyfield.com or by using the contact details provided below."
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	**Complaints, Concerns and Compliments Policy** **Addressing a Complaint Standard Operating Procedure**	"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." The standard acknowledgement of escalation letter states: "We understand that your

				outstanding dissatisfaction relates to < details to be added, e.g. the Stage 1 response failing to provide adequate compensation for the delay in undertaking repairs to your bathroom. > We understand that you would like < e.g. further compensation and an apology in recognition of the manner in which the situation has been handled >. If the above is not an accurate summary of the reason for the request to escalate your complaint, please let us know via complaints@abbeyfield.com or by using the contact details provided below."
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	**Complaints, Concerns and Compliments Policy**	As per section 4.9 of the Handling Complaints of the policy: "The person considering the complaint at Stage 2 will not be the same person that considered the complaint at Stage 1." This is monitored by the Complaints Officer and recorded on the Complaints Log
6.14	Landlords must issue a final response to the stage 2 **within 20 working days** of the complaint being acknowledged.	Yes	**Complaints, Concerns and Compliments Policy**	As per section 4.10 of the Timescales of the policy, Abbeyfield's Stage 2 response timescale is 15 working days

				(not 20): “Stage 2 decision – a full written response will be provided within 15 working 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.” Section 3.4 Stage 2: Review of the complaint and subsequent investigation by a Director of the procedure states: “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 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."
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	**Complaints, Concerns and Compliments Policy** **Addressing a Complaint Standard Operating Procedure**	As per section 3.3.3 Investigating a Complaint of the procedure: "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."
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	**Complaints, Concerns and Compliments Policy** **Addressing a Complaint Standard Operating Procedure**	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.	Yes	**Complaints, Concerns and Compliments Policy** **Addressing a Complaint Standard Operating Procedure**	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	Yes	**Complaints, Concerns and Compliments Policy**	Section 3.3.3.2 Reviewing the evidence of the procedure: "Once collated, the evidence

	decisions, referencing the relevant policy, law and good practice where appropriate.		**Addressing a Complaint Standard Operating Procedure**	should be reviewed against: • TAS policies and procedures • Relevant legislation and regulations, where applicable • Resident information and literature" Section 3.3.3.4 Final response of the procedure states: "The final response letter should include: details of the findings…" The Stage 2 template response letter has a section for the findings to be detailed. The Complaints Officer monitors complaint responses whenever possible to ensure these cover all relevant points before issue
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 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;	Yes	**Complaints, Concerns and Compliments Policy** **Addressing a Complaint Standard Operating Procedure**	As per section 3.3.3.4 Final response of the procedure: "The final response letter should include: • details of the findings; • any action that has been taken; • our proposals to resolve the complaint (see 'Putting things right'); and • details of how to escalate the complaint if the complainant remains dissatisfied • the contact details for the

	f. details of any outstanding actions; and g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.			Ombudsman, if relevant for the complainant." 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	**Complaints, Concerns and Compliments Policy** **Addressing a Complaint Standard Operating Procedure**	Section 3.3.3 Investigating a Complaint 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	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: • 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	**Complaints, Concerns and Compliments Policy** **Addressing a Complaint Standard Operating Procedure**	As per section 3.6 Putting things right of the procedure: "Where the investigation (Stage 1) or the subsequent review (Stage 2) identifies that a complaint should be upheld, he Investigating Officer or 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."
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	**Complaints, Concerns and Compliments Policy** **Addressing a Complaint Standard Operating Procedure**	As per section 3.6 Putting things right of the procedure: "The specific actions that may be taken include: • Providing an apology to the complainant, • Providing information or an explanation to the complainant. • Reviewing resident literature

				(leaflets, posters etc.) • Reviewing an operational process. • Reviewing a contractual agreement with a third party supplier. • Requesting a review of a policy. • Arranging training or guidance for staff members involved." Section 3.3.3 Investigating a Complaint of the procedure states: "the Investigating Officer should manage residents' expectations from the outset, being clear where a desired outcome is unreasonable or unrealistic."
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	**Complaints, Concerns and Compliments Policy** **Addressing a Complaint Standard Operating Procedure**	As per section 3.6 Putting things right of the procedure: "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."

7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	**Complaints, Concerns and Compliments Policy**	As per section 4.13 Putting things right of the policy: “Where a complaint identifies 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.” The Legal Team normally oversees any compensation offer related to a complaint case.

Section 8: Self-assessment, reporting and compliance

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
8.1	Landlords must produce an annual complaints performance and service improvement report for scrutiny and challenge, which must include: 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 summary of the types of complaints the landlord has refused to accept; c. any findings of non-compliance with this Code by the Ombudsman; d. the service improvements made as a result of the learning from complaints; e. any annual report about the landlord's performance from the Ombudsman; and f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.	Yes	Compliments and Complaints | Abbeyfield Living Society	The Annual Complaints Performance and Service Improvement Report is available to view on our website. Compliments and Complaints | Abbeyfield Living Society

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	Compliments and Complaints | Abbeyfield Living Society	The Annual Complaints Performance and Service Improvement Report is available to view on our website. Compliments and Complaints | Abbeyfield Living Society
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	N/A	N/A – No relevant event occurred	Not applicable as the organisation has not undergone a significant restructure, merger or major procedural change in this period
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	N/A	N/A – No relevant event occurred	Not applicable as there have been no Ombudsman investigations requiring a post-investigation self-assessment review
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	N/A	N/A – No relevant event occurred	Not applicable as no exceptional circumstances occurred in this period

	for returning to compliance with the Code.			

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	Compliments and Complaints | Abbeyfield Living Society	We have developed and implemented a complaint lesson learnt process, allowing individual complaints to be examined to extract service improvements on completion of a complaint – identified themes and improvements made via this process are provided in the Quarterly Complaints Reports available on our website Compliments and Complaints | Abbeyfield Living Society
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	**quarterly-complaints-report-january-march-2026.pdf**	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	quarterly-complaints-report-january-march-2026.pdf	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 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	N/A	The Complaints Manager currently 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 Chair of the Customer Committee 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	Yes	N/A	The Chair of the Customer Committee is the MRC & has access to information and staff to perform this role

	have access to suitable information and staff to perform this role and report on their findings.			
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; 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 orders related to severe maladministration findings; and d. annual complaints performance and service improvement report.	Yes	quarterly-complaints-report-january-march-2026.pdf	Quarterly complaint handling reports are complied and presented to the Customer Committee of the board
9.8	Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to: a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;	Yes	**The Abbeyfield Society Code of Conduct**	We have attached our code of conduct which every Abbeyfield colleague embraces alongside specific targets on to promote cross-team partnership

	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.			