

Abbeyfield Shanklin Society Ltd.

Registered Number

Introduction

The Abbeyfield Shanklin Society Ltd. Is registered under the Companies Act 2006 (registered number 00776563) and is limited by guarantee. There were 4 members at 31 October 2024. The company is registered under the Housing Act 1996 (registration number H2065) and is a Charity (registered number 237811)

The principal activity of the Society is the provision of accommodation to lonely and elderly people in accordance with the aims and principals of The Abbeyfield Society Limited. The activity falls wholly within hostel housing activities as defined in the Housing Act 1996.

The objectives of the Society is to provide elderly people with an environment in which to live that allows them to be independent whilst having support when needed.

The sheltered housing complex is called Harwood Court and is situated at 14 Queens Road, Shanklin, PO37 6AN. There are 16 self-contained apartments and therefore a maximum of 16 residents at any time

It provides our residents with information on the complaints we have received, what they were about and what we did to resolve them.

We strive hard to deliver high quality services, but we accept that we may not always get it right and when we do not, we will acknowledge this and attempt to correct it.

Our resident views and perceptions are important to us, and we will continually take feedback to Board to improve our services to residents..

As the newly appointed Complaints Officer I acknowledge there is work to do to formalise the implementation of the Complaints Policy and this first self-assessment (and recognising it is completed in hindsight) I conclude that the 'spirit' of the policy is fully accepted by The General Manager however she needs support to enable collation of evidence of compliance.

It is intended that this work is undertaken during 2024 – 2025 and will be reflected in the next self-assessment and Annual Report.

We are taking the opportunity to use information available via Abbeyfield Living Society to direct our work and will also take advantage of any Complaints Training available for Staff and Trustees by scheduling this as we move forwards.

Section 1: Definition of a complaint

| Code provision | # | Comply: Yes/No | # | 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 | Complaint policy section 1.2 <i>Abbeyfield Complaints, Concerns and Complements 4.1</i> | Definition of a Complaint with reference to <i>Definition of a complaint</i> |
| 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 | Complaint policy section 1.3 with reference to <i>Abbeyfield Complaints, Concerns and Complements 4.1</i> | Definition of a Complaint with reference to <i>Definition of a complaint</i> |
| 1.4 | Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints policy. A service request is a request from a resident to the landlord requiring action to be taken to put something right. Service requests are not complaints, but must be recorded, monitored and reviewed regularly. | Yes | Complaint policy sections 1.5 & 1.6 | The General Manager is available during each working hours (Monday to Friday) for residents to approach as the first point of contact. She will determined if this is a complaint or a service request and will respond accordingly If a complaint she will take action if possible and/or alert the Complaints Officer. |
| 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 | Complaint policy section 1.7 | Residents' views are sought and welcomed regarding the services provided and considerations given fir improvements that may be made. Feedback is given on any outcomes The General Manager will escalate and involve an appropriate Trustee to mediate regarding ad service request outside the remit of the normal offer and also the Complaints Officer if necessary. |
| 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 | Complaint policy section 1.8 | Action: A survey will be introduced during 2024-2025 and subsequently undertaken annually. Feedback will be given along with the route to follow in case of residents being unhappy with the process, |

Section 2: Exclusions

| Code provision | Code requirement | Comply: Yes / No | Evidence | |
|----------------|---|------------------|---|---|
| 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 | Complaint policy section 2.1 with reference to <i>Abbeyfield Complaints, Concerns and# Complements4.1 Definition of a complaint.</i> | The General Manager will explain if an issues is a specified exclusion within the policy but take forwards any other items raised. If a service request rather than a complaint, this will also be explained and with actions taken as appropriate to resolve the issue. |
| 2.2 | A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include: <ul style="list-style-type: none"> 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. Matters that have previously been considered under the complaints policy. | Yes | Complaint policy section 2.2 with reference to <i>Abbeyfield Complaints, Concerns and# Complements 3 Scope</i> | In rare instances, Abbeyfield Shanklin reserves to right to deal with a complaint differently (outside the normal process). If required. A full records of the reasons for this will be made and the complainant informed accordingly. – Together with their rights to take the decision to the Ombudsman. |
| 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 | Complaint Policy section 2.3 with reference to <i>Abbeyfield Complaints, Concerns and# Complements 3 Scope</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 | Complaint Policy section 2.4 | |
| 2.5 | Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint. | Yes | Complaint Policy section 2.1 | Abbeyfield Shanklin is committed to actively encouraging feedback and complaints to learn about our strengths and to understand areas for our focus for development. Each comments will be treated on its own merits. |

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 | Complaint policy sections 1.4, 4.1 & 4.2 with reference to <i>Abbeyfield Complaints, Concerns and# Complements 4.5 Reasonable Adjustments</i> | The General Manager operates an 'Open Door' policy to encourage residents and staff to access her and give feedback or make a complaint. Action It is being considered that a Comments Book be introduced to enable initial feedback from residents staff and visitors may be logged with and subsequent followed Up. |
| 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 | Complaint policy sections 1.4 & 5 with reference to <i>Abbeyfield Complaints, Concerns and# Complements 4.4 Making a Complaint and Abbeyfield 'Making a Complaint' Leaflet</i> | There are few staff employed comprising mainly of part time catering staff These staff are asked to take note of any comments from the residents and pass to the General Manager for awareness and action if needed |
| 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 | Complaint policy section 4.3 with reference to <i>Abbeyfield Complaints, Concerns and# Complements</i> | Abbeyfield Shanklin is determined to increase the volume of feedback received using this to assist forwards planning. The newly elected Chair of the Board of Trustees has introduced 6 weekly (or thereabouts) meetings with himself, the General Manager and each/all of the residents Minutes of these meetings are shared |
| 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 | Complaint policy section 4.4 with reference to <i>Abbeyfield Complaints, Concerns and# Complements</i> | The Complaints Policy is available for all residents –with a reference in the Handbook shared with all on site... The 'Making a Complaint' Leaflet is on the Residents Notice board. It is being explored to establish if a very simple summary handout would be beneficial especially for the most aged residents. The complete information would continue to be fully available to all. |
| 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 | Complaint policy section 4.4 with reference to <i>Abbeyfield Complaints, Concerns and# Complements</i> | As above |

| | | | | |
|-----|--|-----|---|--|
| 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 | Complaint policy section 4.5 with reference to <i>Abbeyfield Complaints, Concerns and# Complements</i> | Residents have family member or sponsors who may take on this role. Equally they make ask another resident to support them or in rare circumstances a Trustee (provided there is no conflict of interest), |
| 3.7 | Landlords must provide residents with information on their right to access the Ombudsman service and how the individual can engage with the Ombudsman about their complaint. | Yes | Complaint policy sections 7.2, 8.5, 8.7 & Section 13 with reference to <i>Abbeyfield Complaints, Concerns and# Complements</i> | In addition to references to this in the standard reference documentation, a complainant will be advised of the complaints process, the timescales and, the recourse to the Ombudsman at the outset of responding to the complaint. This will be confirmed in a letter to the complainant's |

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 | Complaint policy Sections 5 & 6 with reference to <i>Abbeyfield Complaints, Concerns and# Complements</i> | The Society has a Complaints Officer elected from the Board of Trustees who will undertake this role |
| 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 | | The Complaints Officer as this authority. The Complaints Officer will meet regularly with the General Manager to scrutinise the Comments/Complaints received |
| 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 | Complaint policy section 5.4 with reference to <i>Abbeyfield Complaints, Concerns and# Complements</i> | Awareness of the reporting process is given to staff on appointment with further training being undertaken when appropriate We will explore the training offered by Abbeyfield Living Society for the coming year |

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 | One complaint policy | Abbeyfield Shanklin only operates under its own published Complaints Policy <i>We using guidance from Abbeyfield Living Society to ensure probity in our actions</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 | Complaint policy section 7 & 8 with reference to <i>Abbeyfield Complaints, Concerns and# Complements</i> | Only two complaint stages are stated in the Policy and these will be adhered to |
| 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 | As above | As above |
| 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. | N/A | The complaint policy section 7.4 with reference to <i>Abbeyfield Complaints, Concerns and# Complements</i> | The Complaints Officer is a Trustee Confirm its still stage 1 of the complaint process The Chair of Trustees will take responsibility if Stage 2 is incurred |
| 5.5 | Landlords are responsible for ensuring that any third parties handle complaints in line with the Code. | N/A | As above | |
| 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 | Complaint policy sections 7.1 & 8.3 | Abbeyfield Shanklin will apply some guidance from Abbeyfield Living Society in this situation. Standard Operating Procedure ' Addressing a Complaint ' to steer us to manage each step of the process correctly. |
| 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 | Complaint policy sections 7.1 & 8.3 | As above |
| 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 | Complaint policy section 6 | Abbeyfield Shanklin will apply some guidance from Abbeyfield Living Society in this situation. Standard Operating Procedure ' Investigating a Complaint ' to steer to manage each step of the process correctly. |

| | | | | |
|------|--|-----|--|--|
| 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 | Complaint policy section 7.2 & 8.5 | |
| 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 | Complaint policy sections 4.1 & 4.2 with reference to <i>Residents Handbook 'Right and Responsivities' 7 'needs and risk assessments'</i> | All apartments have wet rooms whilst there is a lift to remove the need to use stairs. There is a ramp from the carpark to the front door. Any requests for further reasonable adjustments would be made after receipt of a request. A 'needs assessment' may/will be carried out as a right and the results fully recoded |
| 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 policy section 2 with reference to <i>Abbeyfield Complaints, Concerns and# Complements 3.4 Review of the Complaint</i> | The Trustees will evaluation any Complaints Review Report to ensure probity and compliance |
| 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 | <i>Abbeyfield Complaints, Concerns and# Complements</i> | The General Manager will keep a record of comments, complaints and requests received together with details# of any processes undertaken after receipt. |
| 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 | | The General Manager will keeps records or all complaints in conjunction with the Complaints Officer Each situation will be discussed with the Complaints Officer and used to inform any improvements that could be made to applying the process.in the future These records will form the basis of regular reports to the Board of Trustees and also the Annual Performance and Complaints Report for the Ombudsman. |
| 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 | Complaint Policy section 3 with reference to <i>Residents Handbook- Rights and Responsibilities</i> | Other policies available at Abbeyfield: <ul style="list-style-type: none"> • Safeguarding • Anti-social; behaviour • Health and Safety • Confidentiality and Privacy |
| 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 | ////As above | As above |

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 | <i>Guidance from Abbeyfield Standard Operating Procedures - Addressing a Complaint</i> | When a complaint is received it will be reviewed fully and carefully considered. Where there is an opportunity arise to quickly resolve and respond to the complaint at stage 1, this will be actioned |
| 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 | Complaint policy Section 7.1 | The timescales will be complied with as laid out in the policy |
| 6.3 | Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged. | Yes | Complaint policy Section 7.2 | The timescales will be complied with as laid out in the policy |
| 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 | Complaint policy Section 7.2 | The timescales will be complied with as laid out in the policy |
| 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 | Complaint policy Section 7.2 | We will use an Abbeyfield letter template which contains confirmation of the Ombudsman's contact details |
| 6.6 | A complaint response must be provided to the resident when the answer to the complaint is known, not when the outstanding actions required to address the issue are completed. Outstanding actions must still be tracked and actioned promptly with appropriate updates provided to the resident. | Yes | Complaint policy Section 7.3 | A formal letter will be written in response using the Abbeyfield template letter and will; be accompanied it appropriate with an action plan to be undertaken |
| 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 | Complaint policy Section 7.8 with reference to <i>Abbeyfield Guidance Standard Operating Procedure 'Reviewing a Complaint'</i> | Abbeyfield Shanklin will follow the steps laid out in the SOP |
| 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 | Yes | Complaint policy Section 7.7 | |

| | | | | |
|-----|---|-----|--------------------------------|---|
| | investigated or it would unreasonably delay the response, the new issues must be logged as a new complaint. | | | |
| 6.9 | Landlords must confirm the following in writing to the resident at the completion of stage 1 in clear, plain language: <ul style="list-style-type: none"> 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 stage 2 if the individual is not satisfied with the response. | Yes | \\Complaint policy Section 7.8 | \ |
| | | | | |

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. | \ | \ | Abbeyfield Shanklin will follow the step outline in the Abbeyfield Guidance – Standing Operating Procedure – Handling Complaints |
| 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 | Complaint policy Section 8.3 | |
| 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 | 0Complaint policy Section 8.2 | Abbeyfield Shanklin will follow the step outline in the Abbeyfield Guidance – Standing Operating Procedure – Handling Complaints |
| 6.13 | The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1. | Yes | Complaint policy section 8.1 | Complaint officer stage 1 Complaints Officer Stage 2 (Chair of Trustees) |
| 6.14 | Landlords must issue a final response to the stage 2 within 20 working days of the complaint being acknowledged. | Yes | Complaint policy 8.4 | Timescales will be adhered to |
| 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. | \ | Complaint policy section 8.5 | Abbeyfield Shanklin will follow the step outline in the Abbeyfield Guidance – Standing Operating Procedure – Investigating a Complaint |
| 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 | Complaint policy section 8.5 | |
| 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 | Complaint policy section 8.6 | In such an instance, a letter template would be used which gives reference to the contact details for the Ombudsman. |

| | | | | |
|------|--|-----|-------------------------------------|---|
| 6.18 | Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate. | Yes | Complaint policy section 8.7 | |
| 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; 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 | Complaint policy section 8.7 | Abbeyfield Shanklin will reference the Standard Operating Procedure Addressing a Complaint to guide through the steps |
| 6.20 | Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response. | Yes | Complaint policy section 8.4 | |

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 | Complaints policy Section 9.1 | Abbeyfield Shanklin will the guidance Putting Things Right... from the Standard Operating Procedure Addressing a Complaint |
| 7.2 | Any remedy offered must reflect the impact on the resident as a result of any fault identified. | Yes | Complaint policy section 9.2 | As above |
| 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 | Complaint policy section 9.3 | Reference will be made to 'Putting Things Right as referred to earlier. |

| | | | | |
|-----|--|-----|-------------------------------------|--|
| 7.4 | Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies. | Yes | Complaint policy section 9.4 | The Abbeyfield Legal Team will normally oversee any compensation offer related to a Complaints Case.- rather than Abbeyfield Shanklin Society. |
|-----|--|-----|-------------------------------------|--|

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 | Annual complaint's performance and service improvement report providing all the information requested | This report can be found on our website. The Report refers to the previous Financial year and was the period prescribed by The Duty to Monitor Officer for the Housing Ombudsman We were generously allowed an extension to the submission date owing to the current Board (of Trustees not being formed until February 2025 with 80% new appointments) and the Complaints Officer not appointed until on 25 th March 2025 |
| 8.2 | The annual complaints performance and service improvement report must be reported to the landlord's governing body (or equivalent) and published on the on the section of its website relating to complaints. The governing body's response to the report must be published alongside this. | Yes | The governing body/ board of trustee's statement must be in response to the Annual complaint's performance and service improvement report 2023/2024 Publish on the Landlord/Charity website | N/A |
| 8.3 | Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures. | N/A | n/a | |
| 8.4 | Landlords may be asked to review and update the self-assessment following an Ombudsman investigation. | N/A | Can be N/A if the Landlord/Charity has not been asked to review and update the SA – but Landlord/Charity to acknowledge it understands the requirement of this provision | The Annual Report is sent to each of the Trustees to review and r to make a response to the Complaints Officer. |
| 8.5 | If a landlord is unable to comply with the Code due to exceptional circumstances, such as a cyber incident, they must inform the Ombudsman, provide information to residents who may be affected, and publish this on their website Landlords must provide a timescale for returning to compliance with the Code. | N/A | Can be N/A if this has not happened – but Landlord/Charity to acknowledge it understands the requirement of this provision | |

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 | Annual complaint's performance and service improvement report | Reports from the Complaint's Officer will be a standing item on Board Meetings Agendas - with formal reports being made quarterly Any actions arising from an individual complaint investigation will be raised as part of the standing agenda item - however if urgent, all Trustees will be contacted by email seeking a response to proposed action made – with a decision being determined through this process |
| 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 | Board Reports | |
| 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 | Board Reports | |
| 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 | Complaint Policy Section 10.1 | The Chair of the Board meets with Residents approximately every six weeks together with General Manager. Feedback from the Complaints Process together with learning and improvements could be made via this route |
| 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'). | | Complaint Policy section 10.2 | As Abbeyfield Shanklin is a small Society with no more than 16 Residents, the MRC role will be undertaken by the Complaints Officer (who is one of the Trustees) |
| 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 | | Written reports to Board of Trustees with time set aside for discussion when appropriate. If |
| 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 | | | A standing agenda items on Board Meetings with the use of email during interim periods. Written quarterly reports together with the Annual Complaints Performance and Improvement Report? |

| | | | | |
|-----|--|--|--|--|
| | <p>complying with orders related to severe maladministration findings; and</p> <p>d. annual complaints performance and service improvement report.</p> | | | |
| 9.8 | <p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <p>a. e a collaborative and co-operative approach towards r solving complaints, working with colleagues across teams and departments;</p> <p>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</p> <p>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</p> | | | <p>Use of the Self-Assessment audit process at least annually with outcomes of this to be shared with Trustees</p> <p>Action Plan to be prepared if needs be for all Trustees to be jointly responsible.</p> |