

Appendix A: Self-assessment form

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

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

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

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

Section 1: Definition of a complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
1.2	A complaint must be defined as: <i>‘an expression of dissatisfaction, however made, about the standard of service, actions or lack of action by the landlord, its own staff, or those acting on its behalf, affecting a resident or group of residents.’</i>	Yes	Our complaints procedure Lambeth Council	Definition of a complaint highlighted at section 2 of Lambeth’s complaints policy published on the website:
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	Our complaints procedure Lambeth Council	Section 2 of Lambeth’s complaints policy states that a complaint must be raised when there is dissatisfaction expressed with the response to a service request, even if the handling of the service request remains ongoing. Customers do not have to use the word ‘complaint’ for it to be treated as such: Customers will be given a choice by clarifying with them if they wish their dissatisfaction with a service request to be raised as a formal complaint.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Our complaints procedure Lambeth Council	Service requests are defined at Section 2 of Lambeth's complaints policy with examples.
1.5	A complaint must be raised when the resident expresses dissatisfaction with the response to their service request, even if the handling of the service request remains ongoing. Landlords must not stop their efforts to address the service request if the resident complains.	Yes	Section 2 of Lambeth's complaints policy states that a complaint must be raised when there is dissatisfaction expressed with the response to a service request, even if the handling of the service request remains ongoing: Our complaints procedure Lambeth Council	Lambeth recognises that a complaint must be raised when there is dissatisfaction expressed with the service request response, even if the handling of the service request remains ongoing.
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	Yes	Consultations and feedback surveys provide information on how to make a complaint if dissatisfied with any of the services delivered by the Council.	All feedback from residents is appreciated as Lambeth is always keen to consider what potentially we could do differently.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	their services, they also must provide details of how residents can complain.		The following paragraph is included when sending any consultation or feedback surveys: Your feedback is appreciated as the Council is always keen to consider what potentially we could do differently. If you are dissatisfied with any of the services we deliver you of course have the option of raising these through our formal complaints process: Our complaints procedure Lambeth Council	

Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.1	Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint they must be able to evidence their reasoning. Each complaint must be considered on its own merits	Yes	Section 3 of Lambeth's complaints policy highlights that anyone who uses or is affected by the services delivered by Lambeth can make a complaint if dissatisfied with the service provided: Our complaints procedure Lambeth Council	Lambeth will always consider complaints received on an individual basis and in circumstances where we are unable to consider a complaint fairly a full explanation will be provided to the complainant.
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	Yes	Section 8 of the complaints policy sets out those issues that fall outside of the remit of the complaint's policy: Our complaints procedure Lambeth Council	Some complaints are not intended to be dealt with via the complaints process and are more appropriately dealt with through other channels. When an issue raised falls outside of the remit of the complaints policy, Lambeth will provide an explanation to the customer, and they will be advised of their right

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.			to refer the Council's decision to not consider as a complaint to the relevant 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	Section 6 of the complaints policy states that complaints should normally be raised within 12 months after the complainant became aware of the issue they wish to complain about, unless there are reasonable exceptional circumstances for not doing so: Our complaints procedure Lambeth Council	The council will not usually consider historic complaints unless there are reasonable exceptional circumstances for the complainant not raising the matter within the 12-month period. All cases will be considered on an individual basis
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	Yes	Sections 6 and 8 of the complaints policy highlights what issues cannot be considered through the complaints process and explains the position regarding any historic complaints received:	Lambeth will always provide explanations to residents in such circumstances and make them aware of their option to refer to the Ombudsman for an independent view.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	fairly applied, the Ombudsman may tell the landlord to take on the complaint.		Our complaints procedure Lambeth Council	
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Sections 6 and 8 within the complaints policy recognises the need to consider each complaint on an individual basis and consider any exceptional circumstances: Our complaints procedure Lambeth Council	Lambeth treats all complaints received on its own merits and considers any reasonable exceptional circumstances.

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 access routes and contact details are set out on our website and within the Tenants Handbook: Our complaints procedure Lambeth Council https://www.lambeth.gov.uk/housing/council-tenants/your-tenancy/tenant-handbook	Lambeth's complaints process is easy and accessible to all where anyone wishing to make a complaint can do so by calling us on a designated telephone number, using our online form, or writing to us. Lambeth's aim is to assist customers in the most appropriate way to resolve their issues. In line with the Equality Act we will provide reasonable assistance or adjustments to enable a complaint to be made. We will also record any disabilities a resident discloses and any

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				reasonable adjustments that we have agreed which will be kept under review.
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	Making a complaint with any member of staff is referred to in Section 4 of the complaints policy: Our complaints procedure Lambeth Council	A complaint can be made to any officer of the council, who is responsible for making sure the concerns raised are managed through the formal complaints process.
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	Lambeth's complaints procedure and how to make a complaint setting out the different channel routes is published at the following website link: Our complaints procedure Lambeth Council	Lambeth provides clear and concise information on how to make a complaint which is published on our website and in the Tenants Handbook.
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	The range of channels through which a complaint can be submitted are clearly set out on our website and in the Tenants Handbook. Information regarding the two-stage complaints process is highlighted within our complaint's procedure on our website:	Lambeth recognises the importance of providing different access routes to making a complaint to meet all residents needs and capabilities.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			Our complaints procedure Lambeth Council https://www.lambeth.gov.uk/housing/council-tenants/your-tenancy/tenant-handbook	
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	The complaints policy at Appendix C explains the function of the Housing Ombudsman and the Local Government and Social Care Ombudsman with contact details and provides a link to the Handling Code: Our complaints procedure Lambeth Council	Lambeth's complaint policy provides information on the Ombudsman escalation process and the Handling Code.
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	Information regarding representatives raising complaints on behalf of the resident is highlighted in Section 3 of the complaints policy: Our complaints procedure Lambeth Council	Lambeth recognises that some people may need a representative to act on their behalf when raising a complaint. We accept complaints made on behalf of anyone unable to do so themselves for whatever reason, but we will ask the

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				representative to provide consent from the resident to ensure they are aware of and agree to a complaint being made on their behalf.
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	Information on the Council's complaints process and referring to the Ombudsman are highlighted in the complaints policy under the Appendix section and provided within stage 2 final review complaint responses: Our complaints procedure Lambeth Council	Residents are advised that whilst the Ombudsman would usually expect the Council to have been given the opportunity to consider a complaint in the first instance, they can contact the Ombudsman at any time.

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	Current Team Structures:  CCU.Structure.Chart. 1.docx	The Corporate Complaints team is responsible for liaising with the Ombudsman, provides complaint management intelligent reports, captures the learning from complaints and makes recommendations for identified service improvements. The Corporate Complaints Team (CCU) has corporate responsibility for managing the complaints process, ensuring compliance with policy, statutory requirements, response timescales, quality assurance, fulfilment tracking and reporting. Housing Services retain operational responsibility for investigating issues, providing evidence, delivering services, implementing corrective

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				actions and completing any service commitments arising from Stage 1 complaints and Member Enquiries. In addition, the CCU team manages the Ombudsman function, responds to FOIs (Freedom of Information), and liaises with the ICO (Information Commissioner's Office).
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 Corporate Complaints Manager JD sets out their responsibility to work with senior leaders, external partners, regulators and members, co-ordinate and deliver the authority's corporate complaints function. Striving to achieve the council's outcomes and take personal responsibility	The complaints officer raises the profile of the complaints team in staff briefings and by attending regular operational service team meetings and senior leadership meetings setting out the team's service offer in relation to complaint management highlighting the complaints process and the responsibility of all staff in ensuring complaints are

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			for delivering improvements to the council's reputation.  Corporate Complaints Manager .	addressed fully and in a timely manner meeting set deadlines. Lambeth provides the complaints officer with the authority and autonomy to act on behalf of Lambeth to resolve disputes promptly and fairly.
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 Training Presentations:  OMBUDSMAN COMPLAINT HANDLII  CORPORATE COMPLAINTS UNIT.TI  TRIAGE.ALLOCATION S.PROCESS.pptx	Lambeth's aim is to provide customers with a consistent high standard of service but recognise that occasionally we may not always meet our expected standards. In such circumstances we want to make sure we put things right and learn from any service failures. An adequate resource that is fully trained is key to ensuring complaints are managed effectively and lessons learnt from complaints are captured with recommendations for

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
			 MANAGEMENT OF STAGE 1 COMPLAINT  EFFECTIVE COMPLAINT REPOS  LGSCO.NEW.COMPL AINT.HANDLING.COD	improvements shared with relevant leaders and service areas.

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	Lambeth's complaints policy sets out how complaints will be managed in line with the Ombudsman's Complaint Handling Code: Our complaints procedure Lambeth Council	All complaints received will be considered on an individual basis, fairly and promptly with complainants treated respectfully and in a professional manner.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Our website and Tenants Handbook clearly sets out the 2-stage process: Our complaints procedure Lambeth Council https://www.lambeth.gov.uk/housing/council-tenants/your-tenancy/tenant-handbook	Lambeth has a 2-stage complaint process, stage 1 local resolution and stage 2 final review
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	Please see link to our website setting our complaints process and policy: Our complaints procedure Lambeth Council	Lambeth has a 2-stage complaint process with stage 1 clearly signposting to the next stage of the complaints process and stage 2 providing details on how to escalate to the Ombudsman in the event of remaining dissatisfied.
5.4	Where a landlord's complaint response is handled by a third party (e.g. a contractor or independent adjudicator) at any	Yes	Examples of TMO websites highlighting their complaints process: Complaints Process – Angel Town RMO (angelltownrmo.org.uk)	Residents who live in a Tenant Management Organisation (TMO) property are requested to send any complaints about their TMO directly to their appropriate area housing office: https://www.lambeth.gov.uk/housing/council-

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.		Comments and complaints - Blenheim Gardens RMO (bgrmo.org.uk) Nuisance & General complaints Cetra Housing (cetra-housing.co.uk) Link to all TMO websites: Tenant Management Organisations (TMOs) Lambeth Council	tenants/get-involved/tenant-management-organisations-tmos TMO's will consider the complaint at stage 1 and if the complainant remains dissatisfied this will be referred to Lambeth to consider at stage 2 of the complaints process. The TMO Partnership team will monitor the progress of stage 1 complaints considered by the TMOs.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes		The Corporate Complaints team has been in discussions with Lambeth's TMO Partnership team to ensure all 10 TMO websites and documentation reflects the correct stage 1 requirements (5 days to acknowledge from receipt and 10 working days to respond from the date of acknowledgement and need to be managed in line with the Lambeth's Complaints Policy and the Housing Ombudsman's Complaint Handling Code. Yes All TMOs have been instructed to ensure compliance with the Code and this is being regularly monitored by Lambeth's Client Management team.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Standard acknowledgement and response templates:  Stage 1 Acknowledgement.do  Stage.1.Complaint.Template.meets.Handlin  Stage_2_acknowledgment_.doc  Stage 2 Template.docx	Lambeth’s complaint acknowledgement highlights the complaint definition and the outcome being sought. If any aspects of the complaint received are unclear, the case officer will contact the complainant to obtain further details. The complaint response sets out the complaint definition, findings, actions taken, complaint decision and how to escalate to the next stage of the complaints process or referral to the Ombudsman.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Section 8 of the complaints policy sets out those issues that fall outside the remit of the complaints policy: Our complaints procedure Lambeth Council	If any matters raised fall outside of the remit of the Council, it will be made clear within the acknowledgement what issues will be considered. If all concerns do not fall within the remit of the Council's complaints policy, a written response will be sent advising of such and signposting to the appropriate organisation.
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	Yes	Section 4 and the Appendix of the complaints policy: Our complaints procedure Lambeth Council	At each stage of the complaints process complaint handlers will: • Clarify with the complainant or their representative any aspects of the complaint they are unclear about • Deal with complaints on their merits, act independently, and have an open mind • Give complainants a fair chance to set out their position • Take measures to address any actual or perceived conflict of interest; and • Consider all relevant information and evidence carefully

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	d. consider all relevant information and evidence carefully.			
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	Please see the Appendix of the complaints policy: Our complaints procedure Lambeth Council	Some complaints can be complex potentially involving multiple areas and, in such circumstances, where a response cannot be provided within timescale, the complainant or representative will be contacted on or before the original deadline date and advised as follows: • Why an extension is necessary • The expected timescale for the full response • Provided with the contact details of the relevant Ombudsman if they wish to escalate at that point • Any agreed extension will not be more than 10 working days without good reason
5.10	Landlords must make reasonable adjustments for	Yes	Section 4 and the Appendix of the complaints policy:	All complaints received are considered fairly on an individual basis with full consideration given to any specific needs/disabilities. In line

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.		Our complaints procedure Lambeth Council	with the Equality Act we will provide any reasonable adjustments to enable a complaint to be made and record any disclosed disabilities and agreed reasonable adjustments which are kept under review.
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	Sections 6 & 8 set out circumstances where we may not consider a complaint where the matter falls outside of the remit of the complaints policy: Our complaints procedure Lambeth Council	Lambeth will always consider complaints received on an individual basis and in circumstances where we are unable to consider a complaint fairly a full explanation will be provided to the complainant.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Please see Section 5 of the complaints policy: Our complaints procedure Lambeth Council	Lambeth has a central system to record complaints which includes any accompanying notes and documents to ensure a full investigation is undertaken. This information will be used should the complainant request a further review by the relevant Ombudsman. Records are retained in line with the Council's data retention policy
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	Yes	Please see Section 7 of the complaints policy: Our complaints procedure Lambeth Council	Where fault is identified case officers will offer suitable resolutions or where appropriate consider any compensation at any stage of the complaints process in line with the Council's Compensation Policy:  Compensation Policy.pdf

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	process 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	Lambeth's customer behaviour guidance explains the behaviours that are not acceptable to the Council, ensures our staff have a safe environment without being negatively affected by those who behave unreasonably and enables Council employees to manage such behaviours confidently and effectively. The guidance also sets out the process for managing unreasonable customer behaviours:  Customer.behaviour.guidelines..docx	Most people who contact Lambeth Council behave in a reasonable and courteous manner even when they feel they have just cause to be upset or angry, with only a small minority behaving unreasonably by adopting a repetitive, persistent, or abusive approach. When it is necessary for any individual to contact us, Lambeth is committed to ensuring everyone is treated fairly and respectfully and welcomes feedback from our customers to assist us in identifying any necessary improvements to the services we deliver and anyone contacting us will be treated with courtesy and respect, and the Council expects its staff to be treated in the same way.
5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of	Yes	As set out in the above guidelines	Decisions taken to implement a temporary access restriction are not taken lightly with consideration given to any need or disability in accordance with the Equality Act 2010. Whenever it is necessary to do so the individual is notified in writing, clearly setting

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	the Equality Act 2010.			out the reasons for the temporary restriction, action to be taken and proposed review date. Review of the access restriction will be carried out on an agreed date dependent on the case may be every 2, 3 or 6 months. The review will consider the individual's behaviour during the restriction period and whether it is appropriate or necessary to extend the restriction for a further agreed period or allow the individual to reconvene contacting the Council through all available channels.

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	Please see appendix to complaint policy. Our complaints procedure Lambeth Council	Lambeth's complaint procedure provides guidance on how to respond to complaints at stage 1 of our process.
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	Please see appendix to complaint policy. Our complaints procedure Lambeth Council	Lambeth's Complaints Procedure and policy confirm how and when complaints will be acknowledged.
6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Please see appendix to complaint policy. Our complaints procedure Lambeth Council	Lambeth's complaint procedure and policy confirm that responses will be issued within 10 working days of the acknowledgment.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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	Please see appendix to complaint policy. Our complaints procedure Lambeth Council	The arrangements for extensions are covered in full in our complaint procedure and 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	Our complaints procedure Lambeth Council	The arrangements for extensions, and in particular the requirement to provide Ombudsman contact details are covered in full in our complaint procedure and policy.
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	Our complaints procedure Lambeth Council	This is covered in our complaint procedure
6.7	Landlords must address all points raised in the complaint definition and provide clear reasons for any	Yes	Our complaints procedure Lambeth Council	This is covered in our complaint procedure.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	decisions, referencing the relevant policy, law and good practice where appropriate.			
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	Please see the Appendix under the complaints policy: Our complaints procedure Lambeth Council	Where a complainant or their representative raises additional issues during the investigation, these are recorded under the same case and incorporated into one response if they are related, and the response has not yet been issued. If the response has been issued, the new issues are unrelated to those being investigated, or it would unreasonably delay the response, the new issues will 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: - the complaint stage; - the complaint definition; - the decision on the complaint; - the reasons for any decisions made; - the details of any remedy offered to put things right;	Yes	Stage 1 Complaint Template:  Stage.1.Complaint.Template.meets.Handlin	Lambeth use a consistent stage 1 complaint template response which is in line with the Housing Ombudsman's Complaint Handling Code.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.			

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	Our complaints procedure Lambeth Council	The complaint policy and procedure clearly set out the right to escalate a complaint where a customer remains dissatisfied. Stage 1 responses include a standard paragraph advising customers how to escalate
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	Please see appendix to complaint policy. Our complaints procedure Lambeth Council	Lambeth's Complaints Procedure and policy confirm how and when complaints will be acknowledged.
6.12	Residents must not be required to explain their reasons for requesting a stage 2 consideration. Landlords are expected to make reasonable efforts to	Yes	Our complaints procedure Lambeth Council	There is no requirement to set out reasons for escalation, as

	understand why a resident remains unhappy as part of its stage 2 response.			the choice to do so lies with the customer.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Our complaints procedure Lambeth Council	Stage 2 complaints are independently considered to that of the stage 1.
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	Our complaints procedure Lambeth Council	Lambeth's complaint procedure and policy confirm that responses will be issued within 20 working days of the acknowledgment.
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	Our complaints procedure Lambeth Council	The arrangements for extensions are covered in full in our complaint procedure and policy.
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	Our complaints procedure Lambeth Council	As above
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	Yes	Our complaints procedure Lambeth Council	This is covered in our complaint procedure.

	actions must still be tracked and actioned promptly with appropriate updates provided to the resident.			
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	Our complaints procedure Lambeth Council	As above
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	Our complaints procedure Lambeth Council	As above
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 Officer JD:  Corporate Complaints Officer JD	Stage 2 investigations are carried out by experienced Corporate Complaints Officers within the Corporate Complaint Team

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	Our complaints procedure Lambeth Council	We have adopted the Ombudsman's remedies guidance and Lambeth's complaint policy, and procedure reflects the range of remedies we will consider when assessing how to resolve a complaint following an investigation.
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Our complaints procedure Lambeth Council	When applying remedies, we consider the individual circumstances of each case considering any delays, distress, and difficulty caused, and the impact of any service

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				failures on a customer. We take steps to ensure that remedies are both reasonable and proportionate, to provide an effective resolution where things have gone wrong. resolve the matter and replacing the customer back in the position they would have been in before and take into consideration the facts and issues raised in complaints about service failures
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	Our complaints procedure Lambeth Council	The timescale for completion of remedies is set out in complaint responses. Lambeth's case management system facilitates the recording and monitoring of remedies through to completion. In addition, complaint outcomes can be collated and analysed to identify trends and learning.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes		Officers will have regard to the Housing Ombudsman Remedies Guidance when

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				assessing and applying a suitable remedy.

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		An annual performance and service improvement report is presented to the Audit and Risk Committee Report (previously Corporate Committee), with an update at 6 months. In addition, quarterly reports are presented to our Departmental Leadership Team and the CE's Management Board. The self-assessment will be added as an appendix to the annual Audit and Risk Committee report and will include both a qualitative and quantitative analysis of Lambeth's complaint handling. Lambeth do not refuse to accept complaints but may make an outside jurisdiction decision where there is a separate process in place to handle matters. Any findings of

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
				non-compliance will be reported in the next Audit and Risk Committee report. Any service improvements implemented as a result of learning from complaints will be included in the next Audit and Risk Committee Report. The HOS annual report will be considered as part of our 6-monthly reports.
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	Monthly meetings calendar - July 2026 Lambeth Council	Committee meeting reports, minutes and recordings are available on our website.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes		We will undertake a further self-assessment in the event of significant change, which will be published via the website.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes		We will review and update the self-assessment in these circumstances

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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.	Yes		We agree to comply with this requirement.

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	Latest Monthly Report:  COMPENSATION.LEARNING.MAY.2026.1.xl	Learning from complaints has been incorporated into our regular reports shared with senior leaders and Members. Monthly reports showing learning from complaints with recommendations for improvement are also shared with key service areas and leaders to action and provide evidence of implementing such improvements.
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		Lambeth's complaint policy and procedure is accessible to all, with staff fully trained on effective complaint resolution. We regularly conduct root cause analysis, provide monthly, quarterly, and 6-monthly reports where we identify trends highlighting key areas for service improvement.
9.3	Accountability and transparency are also integral to a positive complaint handling culture. Landlords must report	Yes		Taking ownership and transparency are key to our approach to complaint

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	back on wider learning and improvements from complaints to stakeholders, such as residents' panels, staff and relevant committees.			handling, ensuring that we utilise the feedback obtained from complaints to drive service improvement. Root cause analysis and lessons learnt are included in quarterly/annual 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		The Head of Customer Service has lead responsibility for complaints and for the presentation of complaints performance reports to Corporate Committee meetings.
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		The Cabinet Member leading on complaints is provided with regular reports and updates, as well as details of all severe maladministration determinations.
9.6	The MRC will be responsible for ensuring the governing body receives regular information on complaints that	Yes		The MRC receives regular reports on volumes, performance, outcomes, and

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
	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.			compliance with Ombudsman's orders. This in addition to the monthly, quarterly, and 6-monthly reports set out above. Any cases of severe maladministration are reported to the Cabinet Member for Housing and relevant senior managers.
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		The Cabinet Member leading on complaints has sight of all quarterly and 6-monthly reports as stated above.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
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; 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	Please see training presentations at 4.3	Our policy and procedure and staff training focus on collaborative working to resolve complaints, including those where there are multiple issues covering a range of service areas. This ensures that customers are issued with one comprehensive response reflecting a fair and equitable approach to investigating complaints, taking responsibility for our mistakes, and putting things right.