

Appendix A: Self-Assessment Form (April 2025)

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 complaint's 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	<p>A complaint must be defined as:</p> <p><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></p>	Yes	Lancaster City Council Complaints Policy	<p>Lancaster City Council’s complaint handling process uses the Housing Ombudsman (HO) definition of a complaint.</p> <p>“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.”</p>
1.3	<p>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.</p>	Yes	Lancaster City Council Housing Complaints Policy	<p>Where the substance of feedback amounts to a complaint it is recorded as a complaint and investigated as such. This is even if the resident has not expressly stated they wish to make a complaint.</p> <p>This is catered for in the Housing Ombudsman definition of a complaint “A complaint is an expression of dissatisfaction.”</p> <p>Complaints received on behalf of a resident are handled in line with the Housing Complaints Policy providing we are satisfied we have valid authority to act.</p> <p>Some contacts such as MP or Councillor enquire are handled as complaints through the formal</p>

				<p>process if we believe that the constituent's issue is a complaint rather than an enquiry or service request.</p> <p>This is included in our Complaints Policy and also within our service-wide in-house training.</p>
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	Lancaster City Council Complaints Policy	<p>Our complaints policy explains the difference between a service request and a complaint. It states:</p> <p>"If this is the first time you are reporting an issue, it will be treated as a service request unless dissatisfaction is expressed. Examples of service requests include missed bin collections or housing repairs."</p> <p>Service requests are logged on the same system as complaints – but are excluded at the acknowledgement stage.</p>
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	Lancaster City Council Complaints Policy	<p>Based on the definition of a complaint used by Lancaster city Council.</p> <p>Expressions of dissatisfaction about the response to a service request would be included in this process.</p>
1.6	An expression of dissatisfaction with services made through a survey is not defined as a complaint, though wherever possible, the person completing the survey should be made aware of how they can pursue a complaint if they wish to. Where landlords ask for wider	Yes	Lancaster City Council Complaints Webpage	<p>"Any expression of dissatisfaction regarding our services that is made through a survey, will not be defined as a complaint. Wherever possible, we will contact the person completing the survey to advise how they can pursue a complaint if they wish to."</p>

	feedback about their services, they also must provide details of how residents can complain.			
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Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.1	Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint, they must be able to evidence their reasoning. Each complaint must be considered on its own merits	Yes	Lancaster City Council Complaints Policy	<p>As a landlord we do accept, log, investigate and respond to all complaints.</p> <p>Our complaints policy lists the exclusions to this in detail.</p> <p>Complaints handling software (Granicus) allows for the recording and monitoring of excluded complaints.</p>
2.2	<p>A complaints policy must set out the circumstances in which a matter will not be considered as a complaint or escalated, and these circumstances must be fair and reasonable to residents. Acceptable exclusions include:</p> <ul style="list-style-type: none"> • 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	Lancaster City Council Complaints Policy	<p>Our complaints policy lists the exclusions to this in detail. We also have improved the clarity of our exclusions outlining that:</p> <ul style="list-style-type: none"> • Policy disagreements and rent/service charge complaints are only excluded if no failure in process or application is alleged. • Complaints can be raised until legal proceedings are filed. • Discretion will be applied for complaints outside 12 months

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	Lancaster City Council Complaints Policy	Our complaints policy expressly states: “The council will normally only accept complaints made within twelve months of the incident or circumstances that led to the complaint.”
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	Lancaster City Council Complaints Policy	Our complaints policy expressly states: “If the Council, as your landlord, decides not to accept a complaint, a detailed explanation will 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 Housing Ombudsman.” Complaint exclusion letters are part of a suite of template letters. These letters provide clear information and guidance on the tenants right to contact the Housing Ombudsman and provides the contact details for the organisation
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	Lancaster City Council Complaints Webpage	The Council Housing Complaints webpage page expressly states: “Council Housing will always accept a complaint unless there is a valid reason no to do so. However, when assessing whether to treat a contact as a complaint or not. Each case will be considered on its individual merits and

				consideration may be given.”
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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	Lancaster City Council Complaints Webpage Council Housing Reasonable Adjustment Policy	<p>Our customer care page expressly states:</p> <p>“Complaints can be made online, via email, by telephone, in person or in writing. If you prefer to talk to someone in person, a meeting can be arranged and a friend, relative or other representative can come with you if you wish.”</p> <p>Lancaster City Council’s Council Housing service has a comprehensive Reasonable Adjustments policy that outlines the organisation’s commitment to adhere to the Equality Act 2010. In addition to this, our complaints policy, now explicitly states that requests for accessible formats will be considered.</p> <p>This policy is a public facing document that can be easily found on the Council Housing webpage</p>
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	Lancaster City Council Complaints Webpage	<p>Our customer care page expressly states:</p> <p>“Complaints can be made online, via email, by telephone, in person or in writing. If you prefer to talk to someone in person, a meeting can be arranged and a friend, relative or other representative can come with you if you wish.”</p>

				Annual refresher training is provided for all 'front line' staff, to help them recognise and effectively handle expressions of dissatisfaction/complaints.
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	Lancaster City Council Complaints Webpage	Our web page outlines that complaints are useful feedback that allows our service to identify areas for improvement.
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	Lancaster City Council Complaints Webpage Lancaster City Council Complaints Policy	Our policy is easily found on our wider council webpage. It clearly defines the two stage complaints process, what occurs at each of these stages and the timeframes involved. We also have regular social media posts and newsletter articles that direct tenants to our complaints policy.
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	Lancaster City Council Complaints Policy	Our policy explains that it will be published on the council's main website and the Council Housing specific page. It commits to regularly promoting the complaints process through channels like social media and newsletters. The policy also includes information about the Housing Ombudsman Service and the Complaint Handling Code.
3.6	Landlords must give residents the opportunity to have a representative deal with their	Yes	Lancaster City Council Complaints Policy	Lancaster City Council's complaint policy outlines that; a complaint can be made on behalf of the

	complaint on their behalf, and to be represented or accompanied at any meeting with the landlord.			resident by a councillor, advice worker, solicitor or other third party. However, a third-party consent form must be completed.
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	Lancaster City Council Complaints Policy	The Complaints policy provides clear information on how a resident can access the Ombudsman service. This is also included in our complaint response letters at both Stage 1 and Stage 2.

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		<p>Council Housing has a named Complaints Officer with the required responsibility, and a team of additional officers who act as complaint handlers and complaint administrators.</p> <p>These Officers receive clear guidance and appropriate training to carry out this role.</p> <p>The Complaints Officer for council housing has overall responsibility for this area of work, and acts as liaison with the Housing Ombudsman and reports via the organisation's governance structures (Cabinet, Portfolio Holder, additional groups and committees).</p>
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		<p>The 'complaints officer' function is undertaken by the Council Housing Manager who is a senior manager in the housing team who has access to staff of all levels.</p> <p>Due to their seniority within the organisation, they also have the May 2024 authority and autonomy to resolve disputes.</p>
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	Yes	Induction Handbook	All front-line staff have received complaint handling training which is refreshed on a biennial basis.

	seen as a core service and must be resourced to handle complaints effectively			<p>In addition to this Complaints Training is part of the induction process for new starters within the service.</p> <p>Learning is recorded on all complaints as part of the complaint handling system/software. A monthly complaint learning meeting is held between managers.</p> <p>Learning is published on a quarterly basis.</p>
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Section 5: The Complaint Handling Process

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
5.1	Landlords must have a single policy in place for dealing with complaints covered by this Code. Residents must not be treated differently if they complain.	Yes	Lancaster City Council Complaints Policy	<p>Lancaster City Council has a single complaints policy. This policy covers all service areas within the organisation.</p> <p>Residents will never be treated differently if they choose to raise a complaint as we view this as an opportunity for learning and development.</p>
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	Lancaster City Council Complaints Policy	<p>Whilst Lancaster City Council promotes a culture that resolves complaints early, we operate a two stage complaints process with no additional named stages as outlined in our complains policy document.</p>
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	Yes	Lancaster City Council Complaints Policy	<p>Lancaster City Council operates a two stage complaints process with no additional named stages as outlined in our complains policy</p>

	delay access to the Ombudsman.			document.
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	Lancaster City Council Complaints Policy	<p>Complaints a third party remains under the scope of our two stage complaints process and residents are not expected to go through two complaints processes.</p> <p>In any circumstances we would not request a third party to complete a response on our behalf, information would be gained from the third party and included in a response letter from a named Lancaster City Council member of staff.</p>
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes	Lancaster City Council Complaints Policy	<p>Any complaint response that is investigated by a third party remains under the scope of our complaints policy and therefore in line with the Ombudsman Code of practice.</p> <p>In any circumstances we would not request a third party to complete a response on our behalf, information would be gained from the third party and included in a response letter from a named Lancaster City Council member of staff.</p>
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	Lancaster City Council Complaints Policy Stage 1 and 2 Acknowledgement Letters	<p>All acknowledgement letters sent out to residents who have raised a complaint, include a full breakdown of the landlords understanding of the complaint, as well as the outcomes/remedies that the resident is seeking.</p> <p>This is also embedded in our complaints policy wording for both stage 1 and stage 2 acknowledgements.</p>

				In any cases where this information is not known, staff are advised to contact the resident for further clarification.
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	Stage 1 and 2 Acknowledgement Letters	<p>In the event that an aspect of the complaint raised is not part of the landlord's responsibility and therefore will not be investigated, the acknowledgement letter will clarify this as such and signpost the resident to the correct body.</p> <p>This is also embedded in our complaints policy wording for both stage 1 and stage 2 acknowledgements</p>
5.8	<p>At each stage of the complaints process, complaint handlers must:</p> <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	Council Code of Conduct	<p>The service meets the requirements of provision 5.8 through the following means:</p> <ul style="list-style-type: none"> a. This is covered in our inhouse complaint training carried out biennially. b. As part of our process staff are encouraged to contact the complainant to ensure that they are able to fairly set out their position. c. The Council's Code of Conduct outlines the expectations around potential

				<p>conflict of interests and the measures taken to avoid or minimise these situations.</p> <p>d. Responding officers are skilled and experienced members of staff. Who have received adequate training and are able to consider relevant information and evidence carefully?</p>
5.9	Where a response to a complaint will fall outside the timescales set out in this Code, the landlord must agree with the resident suitable intervals for keeping them informed about their complaint.	Yes	Lancaster City Council Complaints Policy	<p>Section 6. timescales outlined that in exceptional circumstances, cases may need additional time to fully investigate and to arrange remedial action.</p> <p>In these cases, any extension beyond code timescales must be agreed with residents, including suitable intervals for updates.</p> <p>Staff are advised to agree suitable timescales with the complainant and ensure they are regularly updated on progress as part of their in-house training.</p>
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	Council Housing Reasonable Adjustment Policy	<p>Council Housing has a comprehensive reasonable adjustments policy that outlines our commitment to ensuring our service is accessible to all</p>

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	Lancaster City Council Complaints Policy	We will never refuse to escalate a complaint without a valid reason to do so. in cases where we would refuse to escalate a complaint to the second stage of our process, we would provide the complainant with a letter that clearly sets out the reasons for refusal in line with Section 2 of the Ombudsman code.
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	Complaint Handling System (Granicus)	<p>Lancaster City Council use Granicus to record all cases. Using this platform a full record of the complaint can be kept, including actions and outcomes.</p> <p>All details of the complaint itself are recorded, including the date received, the complaint definition and outcomes being sought.</p> <p>It also allows the service to record the correspondence with the tenants such as letters, emails etc.</p> <p>As this is a new IT system a record is kept on a tracker to ensure excellent record keeping during this transitional period.</p>
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	Lancaster City Council Complaints Policy	<p>Our policy outlines that we will put things right when they have gone wrong, that we will inform complainants of the actions it will take or intends to take to put things right.</p> <p>This is not a stage dependent aspect of the process and appropriate remedies will be taken at either stage of the complaint.</p>
5.14	Landlords must have policies and procedures in	Yes	Lancaster City Council	Covered in Section 10 of the Complaints Policy

	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.		Complaints Policy Council Housing – Unacceptable Behaviour Policy	Document. Council housing also has an Unacceptable Behaviour Policy.
5.15	Any restrictions placed on contact due to unacceptable behaviour must be proportionate and demonstrate regard for the provisions of the Equality Act 2010.	Yes	Lancaster City Council Complaints Policy Council Housing – Unacceptable Behaviour Policy	Section 10 of our Complaints Policy states that while the council welcomes feedback, it will not tolerate abusive, threatening, or deceitful behaviour and will take proportionate action if it occurs. Council Housing also has an Unacceptable Behaviour Policy, which outlines actions—such as limiting contact—that may be taken in response to verbal abuse, threats, or similar behaviour, always ensuring the response is proportionate.

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	Lancaster City Council – Guidance on Complaints.	<p>Our complaints process aims to resolve issues as early as possible, considering the case's complexity and any urgent matters.</p> <p>We hold weekly complaints huddles to review cases, identify quick resolutions, and decide which need further investigation. Staff are encouraged to act promptly, even before a formal response is given.</p> <p>Complaint handlers should contact complainants early to assess complexity or vulnerability and clarify any issues. Complex cases are referred to the complaints manager to assign the appropriate investigator across teams.</p>
6.2	Complaints must be acknowledged, defined, and logged at stage 1 of the complaint's procedure <u>within five working days of the complaint being received.</u>	Yes	Lancaster City Council - Complaints Policy	<p>Section 6 outlines that the investigating officer must contact the complainant to fully understand the issues.</p> <p>It also states that Stage 1 complaints should be acknowledged and logged within 5 working days of receipt.</p>

6.3	Landlords must issue a full response to stage 1 complaints <u>within 10 working days</u> of the complaint being acknowledged.	Yes	Lancaster City Council - Complaints Policy	Section 6 of Lancaster City Council's complaints policy states that a full Stage 1 response must be issued within 10 working days of the acknowledgement of the complaint.
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	Lancaster City Council - Complaints Policy Stage 1 Extension Letter (10 days) Template	Lancaster City Council's complaints policy states that if a response delay is needed, the officer must inform the complainant of the new timescale, explain the reason, and provide ombudsman contact details. Extensions are at the council's discretion but should not exceed 10 working days without good reason. A Stage 1 Extension Letter Template is available to support this process.
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	Stage 1 Extension Letter (10 days) Template	If a complaint requires an extension, the responding officer will provide the complainant with Housing Ombudsman contact details. All response letters include information on how residents can contact the Ombudsman, and a Stage 1 extension letter template includes these details as well.
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	Lancaster City Council – Guidance on Complaints.	The complaint response is sent once the outcome is known. Any outstanding actions are listed in the response with target or agreed dates and are recorded on the Granicus system.
6.7	Landlords must address all points raised in the complaint definition and provide clear reasons	Yes	Lancaster City Council – Guidance on Complaints.	Lancaster City Council has adopted the Housing Ombudsman's best practice letter template for

	for any decisions, referencing the relevant policy, law, and good practice where appropriate.			all complaint responses. This ensures all issues raised are addressed, with clear explanations for the decisions made and any actions taken.
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	Lancaster City Council Complaints Policy	Our policy states that states where additional concerns raised are related to the original complaint and would not cause an unreasonable delay to the complaint investigation and response - they will be incorporated into the ongoing investigation and addressed within the same response.
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	Response Letter Template.	Lancaster City Council uses a letter template for all responses. In this template all items A) to G) are included.

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	Yes	Response Letter Template	Stage 1 complaint letters inform residents that if they are dissatisfied with the response, they

	progressed to stage 2 of the landlord's procedure. Stage 2 is the landlord's final response.			should contact the organisation to have the complaint reviewed at Stage 2.
6.11	Requests for stage 2 must be acknowledged, defined, and logged at stage 2 of the complaint's procedure within five working days of the escalation request being received.	Yes	Lancaster City Council - Complaints Policy	Section 6 states that Stage 2 requests must be acknowledged and logged within five working days of receiving the escalation request.
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	Lancaster City Council - Complaints Policy	Residents are not required to provide reasons for escalation to Stage 2 as outlined in our complaints policy.
6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes	Lancaster City Council – Complaints Policy	<p>The Council's complaint policy outlines that: "a Chief Officer (or their delegated senior officer) should undertake the review.</p> <p>This should not be the same person who investigated the Stage 1 complaint and should not be the subject of the complaint."</p> <p>In the event the complaint is about a Chief Officer it will be reviewed by the Senior Leadership Team.</p>
6.14	Landlords must issue a final response to the stage 2 <u>within 20 working days</u> of the complaint being acknowledged.	Yes	Lancaster City Council Complaints Policy	The standards for stage 2 complaints are detailed within the complaints policy. The standard for responding to a stage 2 complaint is 20 working days.
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	Yes	<p>Lancaster City Council Complaints Policy</p> <p>Stage 2 Extension Letter (20 days) Template</p>	Lancaster City Council's complaint policy outlines all guidance on extensions at stage two. It highlights that although extensions are at the discretion of the landlord, they cannot exceed 20 working days without good reason including Extensions beyond 20 days must be agreed with

	reason(s) must be clearly explained to the resident.			<p>residents and include update intervals.</p> <p>The service also has an extension letter for Stage 2 complaints. Which meets the requirements of this provision.</p>
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	Extension Letter Templates	All letters sent to residents as part of our complaint handling procedure include details on how to contact the Housing Ombudsman, including correspondence regarding timescale extensions. The service also has an extension letter for Stage 2 complaints that meets these requirements.
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	Lancaster City Council Complaints Policy	The complaint response is sent to the resident when the answer to complaint is known. If there should be any outstanding actions, these will be listed within the written response with target/arranged dates. Outstanding actions are tracked within the system until they are completed.
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	Lancaster City Council Complaints Policy	Lancaster City Council has adopted the Ombudsman's best practice letter template for all complaint responses. Because of this our complaints responses do address all points raised and provide clear reasons for the decisions made.
6.19	Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language: <ul style="list-style-type: none"> a. the complaint stage. b. the complaint definition. 	Yes	Response Letter Template	As with the responses for Stage 1 complaints. Lancaster City Council uses a letter template for all responses at stage 2. In this template all items A) to G) are included.

	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.			
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	Response Letter Template	Lancaster City Council operates a two stage complaints process, as such any stage 2 response sent to a resident is the final response

Section 7: Putting things right.

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
7.1	<p>Where something has gone wrong a landlord must acknowledge this and set out the actions it has already taken, or intends to take, to put things right. These can include:</p> <ul style="list-style-type: none"> • 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. 	Yes	Lancaster City Council Complaints Policy	Our complaints procedure is designed to resolve disputes effectively by identifying issues and outlining the actions required to address them. The response letters offer officers the opportunity to detail how the council plans to resolve the complaint, including all options specified in code requirement 7.1.

	<ul style="list-style-type: none"> Changing policies, procedures, or practices. 			
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	Lancaster City Council Complaints Policy	Lancaster City Council always try to ensure the remedies offered reflect the impact on the resident. We also, wherever possible, try to ascertain what outcome the resident is seeking as part of the complaints process.
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	Response Letter Templates	<p>Response letters sent to the resident will always clearly set out what actions will be taken as part of the remedy, wherever known this will include the timescales of said actions and the officer who will be carrying these out.</p> <p>In cases where appropriate outstanding actions, appointments, repairs will be made in agreement with the resident. All remedies will be processed through to completion and note of these can be recorded on the councils' complaints tracker (Granicus).</p>
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes		<p>We are committed to handling complaints in the best possible manner.</p> <p>We refer to the Ombudsman's guidance when deciding upon remedies for our complaint cases.</p> <p>In instances where the ombudsman contacts Council Housing directly to issue guidance on particular cases, we will always take account of the guidance offered to us.</p>

				A compensation policy was developed and published in the 2024-25 financial year.
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Section 8: Putting things right.

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 Complaints Report 2024-25	Lancaster City Council's Council Housing Team have produced an annual complaints performance and service improvement report for scrutiny. The report includes this annual self-assessment as an addendum ensuring that the complaints policy remains in line with its requirements. Both qualitative and quantitative analysis of our performance is included, including the types and nature of complaints received. It also includes learning from the previous year's complaints and service improvements to be focused upon in the coming 12 months. The report includes findings of non-compliance and investigations carried out by the Housing Ombudsman as well as the most recent Landlord Performance report from the Ombudsman (Last updated July 2024).
8.2	The annual complaints performance and service improvement report must be reported to the landlord's governing body (or equivalent) and	Yes	Lancaster City Council Complaints Webpage	Report scheduled on 4th June 2024 Cabinet. Documents relating to this and the Council's response will be published on our complaints

	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.			section of our website.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes		Although Lancaster City Council is not currently undertaking any mergers, restructures, or changes in procedures. We are committed to doing to in the event of such.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes		Lancaster City Council's Council Housing Service is committed to carrying out a review and update of our self-assessment should we be requested to do so by the Ombudsman.
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		Should such an incident/situation occur and as a landlord we were unable to comply with the Code. Council Housing would be committed to informing the Ombudsman and the affected complainants and publish this on our website with the appropriate timescales for the resuming of the service.

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	Lancaster City Council - Guidance on Complaints	<p>Lancaster City Council is committed to learning from residents' complaints and looking beyond the circumstances of the individual complaint.</p> <p>We hold regular review of the complaints we have received to identify service failures and use this learning to consider whether service improvements need to be made as a result.</p>
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	Lancaster City Council - Guidance on Complaints	<p>Lancaster City Council's Council Housing Service acknowledges the positive impact of complaints on improving future service delivery, supported by the investigation and learning process.</p> <p>Our regular learning sessions use complaints as valuable intelligence to identify broader service issues and implement necessary improvements in service delivery.</p>
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 Learning and Service Improvement Report.	<p>Staff and residents will receive a quarterly learning and improvement report that outlines the wider learning and related service improvements.</p> <p>The Council Housing Advisory Group (Councillors, Tenants, Community Partners) will also receive this report as part of a quarterly meeting.</p>

				<p>The Cabinet (as part of the council governance) will receive this learning and service improvement report on a quarterly basis also.</p> <p>This reporting process will commence in Q1 of the 2025-26 fiscal year</p>
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		<p>The Council Housing Manager has accountability for complaints handling.</p> <p>In conjunction with the Policy and Performance Officer this role also assesses any themes or trends to identify potential system issues.</p>
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		An elected member of the Cabinet has been appointed to have overall responsibility for complaints for the organisation.
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		The MRC receives regular updates of the landlord's performance in relation to complaints. It is the MRCs responsibility to convey this information to the wider elected council. The Lead Member sits on the Council Housing Advisory Group
9.7	As a minimum, the MRC and the governing body (or equivalent) must receive: <ul style="list-style-type: none"> a. regular updates on the volume, categories, and outcomes of complaints, alongside complaint handling performance. b. regular reviews of issues and trends arising from complaint handling. 	Yes	<p>Quarterly Complaints Reports</p> <p>Complaint Cabinet Reports</p> <p>Annual Complaint Performance and Service Improvement Report</p>	Lancaster City Council's Council Housings Complaints Report 2023-24 will incorporate all the required elements of Provision 9.7 and will be published both on the Committee pages of the Council's website and on the Complaints pages.

	<p>c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and</p> <p>d. annual complaints performance and service improvement report.</p>			This self-assessment will be updated to reflect this measure on publication of the Annual Complaints Report.
9.8	<p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <p>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments.</p> <p>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</p> <p>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</p>	Yes	Service Improvement Plan TSM Action Plan	<p>Our organisation works collaboratively with other services.</p> <p>One of our core values is 'being accountable,' as so we take responsibility for failures as a collective, rather than promoting a blame culture. We are committed to acting within the professional standards for engaging with complaints as set out by the Ombudsman.</p>