

## 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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	The definition is confirmed in our Housing Management Complaints Policy and is directly aligned with that of the code requirement.
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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	<p>Our Housing Management Complaints Policy clearly states that residents do not need to explicitly use the term "complaint" for their concerns to be treated as such.</p> <p>Our staff are strongly encouraged in active listening skills so that when they are in direct contact, they hear what residents are saying, regardless of how it is being said.</p> <p>Additionally, our policy states that a complaint that is submitted via a third party or representative will be handled in line with the complaints policy.</p> <p>We strongly respect the privacy rights of our residents and we adhere to GDPR throughout.</p>
1.4	Landlords must recognise the difference between a service request and a complaint. This must be set out in their complaints	Yes	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	As a responsible landlord, our officers are trained to recognise the difference between a

	<p>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.</p>			<p>service request and a complaint. We also set this out in our complaints policy.</p> <p>All service requests are logged and monitored on our system (360 Dynamics) in collaboration between the complaints team and the service area.</p>
1.5	<p>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.</p>	Yes	<p><a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a></p>	<p>Residents are informed that, while their service requests are being logged, they have the option to raise a complaint at any time. Throughout the process, we periodically remind them of this option, and the relevant information is provided.</p> <p>Our customer experience officers establish and maintain direct contact with the relevant service area to facilitate a timely response for the resident.</p> <p>Service areas are actively encouraged to maintain communication and provide regular updates directly to residents. This is reinforced at weekly/fortnightly specific service liaison meetings which are led by officers of the customer experience team.</p>
1.6	<p>An expression of dissatisfaction with services made through a survey is not defined as a complaint, though wherever possible, the person completing the survey</p>	Yes		<p>Recognising the importance of proactive complaints handling we conduct complaint satisfaction surveys following</p>

	should be made aware of how they can pursue a complaint if they wish to. Where landlords ask for wider feedback about their services, they also must provide details of how residents can complain.			<p>the complaint process.</p> <p>All teams and services across the council are encouraged to include a link to the complaints process in all types of surveys that go out to residents. This will be reinforced during planned complaints workshops that will be introduced in early 2026.</p>
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## Section 2: Exclusions

Code provision	Code requirement	Comply: Yes / No	Evidence	Commentary / explanation
2.1	Landlords must accept a complaint unless there is a valid reason not to do so. If landlords decide not to accept a complaint, they must be able to evidence their reasoning. Each complaint must be considered on its own merits	Yes	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	<p>It is rare that a complaint is rejected, and this is always considered alongside our complaints policy exclusions.</p> <p>Each new complaint is considered on its own merit, and any considered rejection must be brought to the managers attention.</p> <p>In all cases there is timely communication with the resident and guidance is provided with regards to their options.</p>
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:	Yes	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	The exclusions in the RBKC Housing Management Complaints Policy are consistent with the exclusions in section 2 of the complaint handling code.

	<ul style="list-style-type: none"> <li>• The issue giving rise to the complaint occurred over twelve months ago.</li> <li>• 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.</li> <li>• Matters that have previously been considered under the complaints policy.</li> </ul>			<p>In line with the complaints handling code, we have set out the circumstances under which a matter will not be considered as a complaint or escalated within our complaints policy.</p> <p>Additionally, there is guidance and signposting for those raising complaints that fall outside of those listed.</p> <p>Each case is assessed individually and considered on its own merit.</p>
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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	<p>It is clearly set out in our complaints policy that we must accept complaints referred to us within 12 months of the issue occurring or the resident becoming aware of the issue.</p> <p>As we consider each complaint on its own merit, we can apply discretion when there are good reasons to do so. This is reviewed in collaboration with the complaints team, the service area and senior management.</p>
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	Yes	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	The possible reasons for not accepting a complaint are clearly written in our complaints policy.

	does not agree that the exclusion has been fairly applied, the Ombudsman may tell the landlord to take on the complaint.			Where we apply one or more of the exemptions, the reasons for the decision are included in the acknowledgement response, and the resident is advised on the next steps available to them.  Ombudsman details are included as standard on all communication.
2.5	Landlords must not take a blanket approach to excluding complaints; they must consider the individual circumstances of each complaint.	Yes	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	We encourage that in each complaint; the circumstances are considered individually and with curiosity. Any considered exclusion must be brought to the managers attention.  This is approach is reviewed and monitored during informal daily discussion, team development meetings and 1:1s.

### 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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	Our goal is to treat all our residents with respect, to listen to their concerns, and resolve issues fairly. We take our commitment to equality, diversity, and inclusion seriously, and our policy is aligned with the Housing Ombudsman Complaint Handling Code, the council's codesigned Service Standards

				<p>and relevant UK legislation.</p> <p>To assist fulfillment of our commitment, we ensure that information is accessible and available in appropriate formats, including interpretation and translation services, large print, and audio formats.</p> <p>On our website, we provide guidance to residents on a number of ways to contact the council when making a complaint. Residents have the option to engage face-to-face, via telephone, email, or by using our online 'contact us' form.</p> <p>We intend to improve our opportunities for engagement in 2026 by heightened visibility of the customer experience team within the community. We envisage being proactive in this area and working more closely with our resident engagement colleagues to build stronger community relationships, which will improve accessibility for residents.</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	Yes	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	As a council we strongly encourage our staff to ensure behaviours are aligned with our values, especially the resident being at the center of

	details of the complaint to the appropriate person within the landlord.			<p>all we do.</p> <p>All staff are expected to familiarise themselves with the complaints policy as part of their induction and actively advocate for residents.</p> <p>We are currently exploring ways in which we can strengthen our commitment in this area which may include attendance at individual team meetings, forums, complaints being a regular feature at corporate and housing services induction and workshops.</p>
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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	<p>We know that high volumes of complaints can be seen by residents as being negative and we understand that if we are authentic in sharing the data behind the complaints and how we use this to inform service improvement, this in time will appear more acceptable.</p> <p>On our website, residents can enter 'complaints' into the search bar and will be directed to the relevant webpage containing information about complaints.</p>
3.4	Landlords must make their complaint policy available in a clear and accessible format for all residents. This will detail the two	Yes	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	This information is outlined in our complaints policy. The policy specifies the number of



	stage process, what will happen at each stage, and the timeframes for responding. The policy must also be published on the landlord's website.			stages involved, details the actions at each stage, and provides timeframes for each stage.
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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	This information is available on our website.
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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	It is clearly stated in our complaints policy that residents have the option to appoint a representative to handle their complaint or to accompany them during any meetings.  We strive to treat all representatives with the respect that we afford to the resident.
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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	In both Stage 1 and Stage 2 written responses to residents, we provide contact information for the Housing Ombudsman. This practice is outlined in our complaints policy.

#### 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	Yes		The council has a dedicated customer experience/complaints team responsible for managing all housing management and housing needs complaints. Within the team we have an officer who takes the lead on all

	the 'complaints officer'. This role may be in addition to other duties.			<p>ombudsman cases.</p> <p>The Resident Engagement and Complaints Manager ensures that the complaints team adhere to the codes and treat complaints seriously.</p> <p>We ensure that all officers are up to date with legislation, policies, procedures, protocols and best practice guidance.</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>Our Customer Experience team proactively engages with the complainant and the investigating officer upon logging the complaint, aiming to gain a comprehensive understanding of the issue and work toward a fair and balanced resolution.</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 seen as a core service and must be resourced to handle complaints effectively	Yes		<p>Staff members responsible for managing complaints possess the necessary skills, knowledge and experience to do so.</p> <p>Additionally, our officers across the council departments are encouraged to consult the customer experience team for guidance on matters of resident dissatisfaction.</p> <p>We have established mechanisms to utilise feedback from complaints for service improvement.</p> <p>Users of the complaints process may participate in surveys to</p>

				<p>express their views on the handling and outcome of their complaints, allowing the Council to monitor customer satisfaction and identify areas for improvement.</p> <p>Going forward we aim to enhance our ability in this area by increasing visibility and accessibility at staff forums and events.</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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	The Council has a single housing management complaints policy, which covers all complaints that fall within the jurisdiction of the code.
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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	<p>We make every effort to promptly address complaints, considering the case's complexity. Urgent issues are handled promptly, if needed, before sending out the complaint response.</p> <p>Our Quick resolution offer stipulates that if a problem/concern can be resolved within two working days to the resident's satisfaction, we may handle it informally without invoking the formal complaints process. At any point the resident</p>

				can still raise a stage 1 complaint if they wish to do so.
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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	Our complaints process consists of two stages, as outlined in our Complaints procedure.
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		All complaints even those regarding contractors are handled by the council. The council does not outsource the responsibility to those outside of our organisation and it is important to us to ensure that the process is as streamlined as possible.
5.5	Landlords are responsible for ensuring that any third parties handle complaints in line with the Code.	Yes		All complaints even those regarding contractors are handled by the council. The council does not outsource the responsibility to those outside of our organisation.  Our resident's satisfaction with regards to complaints is our responsibility, and this is one of the ways in which we communicate our accountability.
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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	We initiate contact using the complainant's preferred communication methods and promptly send an acknowledgment letter that includes clarification of the definition of the Stage 2 complaint.

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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	<p>Written acknowledgments include a concise summary of the issues raised by the complainant and the desired outcomes. The initial contact between the complaint officer and the tenant serves to confirm a joint understanding.</p> <p>Where areas are identified that we are not responsible for, this is clearly recorded and explained. At this stage we also provide advice/guidance/signposting.</p>
5.8	<p>At each stage of the complaints process, complaint handlers must:</p> <ol style="list-style-type: none"> <li>deal with complaints on their merits, act independently, and have an open mind;</li> <li>give the resident a fair chance to set out their position;</li> <li>take measures to address any actual or perceived conflict of interest; and</li> <li>consider all relevant information and evidence carefully.</li> </ol>	Yes	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	<p>Customer experience officers ensure that all complaints receive unbiased oversight from the onset.</p> <p>The complex case investigating officer proactively engages with the resident to clarify the nature of the complaint. This involves a thorough examination of all information provided by the resident.</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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	<p>A customer experience officer initiates communication with the resident to discuss the possibility of an extension.</p> <p>Once mutually agreed, this is formally confirmed in writing, and we establish with the resident their preferred method of</p>

				communication and the frequency of this.
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	<a href="https://www.rbkc.gov.uk/housing/complaints-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/complaints-complaints-and-feedback/housing-management-complaints-and-feedback</a>	<p>In accordance with the Ombudsman's guidance on vulnerability, we consider reasonable adjustments for complainants with a specific vulnerability and/or disability.</p> <p>These adjustments, and the associated vulnerability / disability that gave rise to it, are recorded on our main records system and are subject to periodic review by our neighborhoods and health &amp; safety Teams.</p> <p>We update our systems whenever new information comes to our attention regarding a resident's specific disability / vulnerability to help us consider any reasonable adjustments and how best to meet the needs of the resident.</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	<a href="https://www.rbkc.gov.uk/housing/complaints-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/complaints-complaints-and-feedback/housing-management-complaints-and-feedback</a>	<p>When a complaint is not upheld, we provide clear explanations to the resident regarding the decision-making process, and our complaints procedure outlines specific circumstances where we may reasonably decline to escalate a complaint.</p> <p>We also inform of the opportunity to appeal, engage in further discussion, or approach the Housing Ombudsman as</p>

				part of our complaint response letter.
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		<p>We use a comprehensive complaints system specifically designed for managing landlord complaints.</p> <p>The system maintains a transparent audit trail of all interactions between the complainant and the landlord. Additionally, we log all service requests and members' inquiries on a dedicated platform.</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	<a href="https://www.rbkc.gov.uk/housing/complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/complaints-and-feedback/housing-management-complaints-and-feedback</a>	We place significant importance on addressing complaints promptly and achieving timely and appropriate resolutions at any stage.
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	<a href="https://www.rbkc.gov.uk/housing/complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/complaints-and-feedback/housing-management-complaints-and-feedback</a>	<p>We aim to engage with all residents in an empathetic and transparent way exercising patience and understanding.</p> <p>Any restrictions imposed under our unreasonable complaints policy will be clearly recorded and shared with the resident.</p> <p>All restrictions are reviewed every 3 months by the complaints manager and are subject to a formal appeals process.</p>

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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	Should the situation arise, we have an unreasonable complaints policy and if it becomes necessary to utilise restrictions with a resident, we do consider the provisions outlined in the Equality Act 2010, our Equality Duty, and the protected characteristics of the resident.
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## 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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	<p>We strive to address complaints promptly, considering the case's complexity. Urgent matters are handled swiftly and before issuing the complaint response if deemed necessary.</p> <p>Our customer experience team initiate contact with the resident which also provides the opportunity for us to identify any vulnerabilities, if not already flagged in the system.</p>
6.2	Complaints must be acknowledged, defined and logged at stage 1 of the complaints procedure <b><u>within five working days of the complaint being received.</u></b>	Yes	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	<p>We adhere to rigorous internal guidelines for logging and acknowledging complaints.</p> <p>Within five working days, written acknowledgments are provided, including a summary</p>



				of the issues raised by the complainant and the desired outcomes. The initial contact between the investigating officer and the resident serves to confirm the position.
6.3	Landlords must issue a full response to stage 1 complaints <b>within 10 working days</b> of the complaint being acknowledged.	Yes	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	Our commitment to this is clearly outlined in our complaints procedure.
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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	A customer experience officer initiates communication with the complainant to discuss the possibility of an extension. Upon mutual agreement, this arrangement is formally confirmed in writing.
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		When an extension may be required, the senior customer experience officer provides the resident with the Housing Ombudsman's contact information.
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		<p>We send written complaint responses to residents once we have determined the answer to their complaint. If there are any outstanding actions, we include them in the written response along with target dates.</p> <p>Our complex case officer logs these outstanding actions and ensures they are tracked to</p>

				completion by collaborating with the relevant service area.
6.7	Landlords must address all points raised in the complaint definition and provide clear reasons for any decisions, referencing the relevant policy, law and good practice where appropriate.	Yes		Our complaint responses thoroughly address all points raised and provide clear reasons for our decisions, referencing legislation and policy 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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	In our complaint acknowledgement to the resident, they are advised that if there is any further evidence or information they want to provide, they should submit it. This will be considered as part of the stage 1 complaint investigation.
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"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> <li>g. details of how to escalate the matter to stage 2 if the individual is not satisfied with the response.</li> </ul>	Yes		<p>We have implemented the Housing Ombudsman's standardised response letters, ensuring compliance with the specified requirements.</p> <p>Communicating effectively with our residents is important to us and we strongly encourage peer to peer support/review of all communications.</p> <p>The manager has introduced the random selection of cases for internal audit with the intention of quality assurance and informing lessons learned.</p>

## 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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	If the resident is not satisfied with the initial response, they have the option to escalate the complaint to the second and final stage.
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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	<p>A written acknowledgment is provided within five working days and includes a summary of the escalated issues and the outcomes sought by the resident.</p> <p>Additionally, the ongoing communication between the investigating officer and the resident serves to confirm the request for stage 2.</p>
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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	<p>Our Stage 1 letter response does not require the complainant to provide reasons for requesting a Stage 2 review. The letter informs the resident that if they are dissatisfied with the Stage 1 response, they should notify us within 20 working days.</p> <p>The director of housing management will then conduct a thorough review of the case, including the initial response at stage 1, to better understand why the matter was not resolved at stage 1 and why the resident remains dissatisfied.</p>

6.13	The person considering the complaint at stage 2 must not be the same person that considered the complaint at stage 1.	Yes		<p>Stage 1 complaints are considered by a customer experience officer and staff within the service area. They are then signed off by a manager or head of service.</p> <p>Stage 2 complaints are considered by a senior customer experience officer, managers from the service areas, heads of service and are signed off by the director of housing management.</p>
6.14	Landlords must issue a final response to the stage 2 <b><u>within 20 working days</u></b> of the complaint being acknowledged.	Yes		<p>We aim to address stage 2 complaints within 20 working days of the complaint being acknowledged. Whilst we strive to ensure timely responses following a thorough investigation, there may be exceptional circumstances where we cannot meet this timeframe.</p> <p>In such cases, we will promptly inform the resident, providing a clear explanation and an alternative timeframe.</p> <p>We are clear that this is an exception rather than the norm and we make every effort to adhere to timeframes.</p>
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	Yes	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	The Customer Experience Officer initiates communication with the complainant to discuss the possibility of an extension. If

	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.			<p>an agreement is reached, it is then formally confirmed in writing.</p> <p>The reason for any extension is clearly recorded, and all timescales are monitored for service improvement purposes.</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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	When an extension is granted, the Customer Experience Officer ensures that the complainant has the contact details for the Housing Ombudsman and is aware of their function.
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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	<p>Written complaint responses are provided to the resident when the answer to complaint is known.</p> <p>Where there are outstanding actions, these are included in the written response with target dates for completion. The investigating officer logs any outstanding actions and tracks these to completion by working with the relevant service area.</p>
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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	<p>Our responses to complaints address all points raised and provide clear reasons for the decisions made, referencing any relevant policy or legislation.</p> <p>We have adopted the Housing</p>

				Ombudsman's template response letters, ensuring compliance with the requirements and we provide details to residents on how they can escalate the matter to the Housing Ombudsman.
6.19	<p>Landlords must confirm the following in writing to the resident at the completion of stage 2 in clear, plain language:</p> <ul style="list-style-type: none"> <li>a. the complaint stage;</li> <li>b. the complaint definition;</li> <li>c. the decision on the complaint;</li> <li>d. the reasons for any decisions made;</li> <li>e. the details of any remedy offered to put things right;</li> <li>f. details of any outstanding actions; and</li> <li>g. details of how to escalate the matter to the Ombudsman Service if the individual remains dissatisfied.</li> </ul>	Yes	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	On completion of a stage 2 investigation our response for the resident is drafted using a template which always includes the headings A-G and is written in plain language.
6.20	Stage 2 is the landlord's final response and must involve all suitable staff members needed to issue such a response.	Yes	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	At the stage 2 level, the final response is provided by a Head of Service. This is following a multi-disciplinary meeting to focus on the complaint collectively and with the support of an experienced, senior customer experience officer.

## 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"> <li>• Apologising;</li> <li>• Acknowledging where things have gone wrong;</li> <li>• Providing an explanation, assistance or reasons;</li> <li>• Taking action if there has been delay;</li> <li>• Reconsidering or changing a decision;</li> <li>• Amending a record or adding a correction or addendum;</li> <li>• Providing a financial remedy;</li> <li>• Changing policies, procedures or practices.</li> </ul>	Yes	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	<p>Our complaints procedure is designed to effectively resolve disputes by identifying issues and implementing corrective actions. Our intention is to approach all stages of a complaint with an open mind and a commitment to ensuring resident satisfaction.</p> <p>Compensation is awarded as a financial remedy in cases of service failure, in line with our compensation policy.</p>
7.2	Any remedy offered must reflect the impact on the resident as a result of any fault identified.	Yes	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	<p>We aim to always acknowledge and address any failings on our part whilst managing complainants' expectations in alignment with our capacity to deliver.</p> <p>We do this in an open and transparent way in line with the broader framework set out in our compensation policy, considering the complainant's individual circumstances and any vulnerabilities they may have.</p>

7.3	The remedy offer must clearly set out what will happen and by when, in agreement with the resident where appropriate. Any remedy proposed must be followed through to completion.	Yes	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	Following the conclusion of the complaint investigation, appropriate remedies are identified in agreement with the complainant.  Proposed remedies are then monitored until completion by the relevant service area.
7.4	Landlords must take account of the guidance issued by the Ombudsman when deciding on appropriate remedies.	Yes	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	As good practice and to ensure a consistency in service delivery, we refer to the Housing Ombudsman guidance when considering appropriate remedies.

## 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	Yes	<a href="https://www.rbkc.gov.uk/complaints-comments-and-compliments">Complaints, comments and compliments   Royal Borough of Kensington and Chelsea (rbkc.gov.uk)</a>	Our Annual Complaints Report provides an overview of the Council's performance regarding complaints, including lessons learned and improvements, as well as trends and patterns. A full list of what's included in the report can be found on our website.  The 2024/25 report is pending publication (dates shown at 8.2).



	f. any other relevant reports or publications produced by the Ombudsman in relation to the work of the landlord.			
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	<ul style="list-style-type: none"> <li>• <b>Overview and Scrutiny Committee</b> – <a href="#">20 November 2025</a></li> <li>• <b>Leadership Team</b> – <a href="#">10 December 2025</a></li> <li>• <b>Full Council</b> – <a href="#">28 January 2026</a></li> </ul>	Our annual complaints report is presented at the Overview and Scrutiny Committee, Leadership Team and Full Council meetings. The dates of these meetings, as well as the agendas and reports are published on our website in advance of the meetings.
8.3	Landlords must also carry out a self-assessment following a significant restructure, merger and/or change in procedures.	Yes		We are committed to conducting a new self- assessment following significant restructuring, merger and/or changes in procedures.
8.4	Landlords may be asked to review and update the self-assessment following an Ombudsman investigation.	Yes		<p>We are committed to conducting a review and updating our self-assessment if requested by the Housing Ombudsman.</p> <p>We recognise the value of self-assessment and are committed to encouraging a transparent leaning culture.</p>
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		<p>If we are unable to comply with the Code due to exceptional circumstances, we are committed to informing the Housing Ombudsman and any affected complainants.</p> <p>We will also publish information with appropriate timescales for the service reconvening.</p>

## 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	<a href="https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback">https://www.rbkc.gov.uk/housing/compliments-complaints-and-feedback/housing-management-complaints-and-feedback</a>	<p>We thoroughly consider the impact of complaints beyond individual circumstances and assess how they affect all residents.</p> <p>We conduct appreciative inquiries and customer journey mapping in our estates where complaints have been raised, leading to the identification of service failings.</p> <p>This information is shared and monitored at regular multi-disciplinary meetings with staff at all levels in attendance.</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		We acknowledge the constructive influence of complaints on future service delivery. Where patterns or trends are identified we take a proactive approach to address them.
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	<a href="https://www.rbkc.gov.uk/contact-us/complaints-comments-and-compliments">https://www.rbkc.gov.uk/contact-us/complaints-comments-and-compliments</a>	Our Annual Complaints Report provides an overview of the Council's performance regarding complaints, including lessons learned and improvements, as well as trends and patterns. A full list of what's included in the report can be found on our website.

				The 2024/25 report is pending publication (dates shown at 8.2).
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		Our Resident Engagement and Complaints Manager, supported by a team of customer experience officers, leads on responsibility for handling housing management complaints.
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	<a href="https://www.rbkc.gov.uk/council-councillors-and-democracy/how-council-works/leader-council-and-leadership-team">https://www.rbkc.gov.uk/council-councillors-and-democracy/how-council-works/leader-council-and-leadership-team</a>	<p>The Lead Member for Housing has the lead responsibility for complaints within Housing Management.</p> <p>Separately, the Lead Member for Finance, Digital, and Efficiency has the lead responsibility for corporate complaints across the council.</p>
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	<a href="https://www.rbkc.gov.uk/contact-us/complaints-comments-and-compliments">https://www.rbkc.gov.uk/contact-us/complaints-comments-and-compliments</a>	<p>In addition to the council's annual Complaints Report, an annual performance report for Housing and Social Investment is presented to the Housing and Communities Select Committee (this includes performance reporting for Housing Management complaints).</p> <p>Additionally, a quarterly Housing Management performance report (which includes performance reporting on</p>

				complaints) is brought to the Leadership Team Meeting.
9.7	<p>As a minimum, the MRC and the governing body (or equivalent) must receive:</p> <ul style="list-style-type: none"> <li>a. regular updates on the volume, categories and outcomes of complaints, alongside complaint handling performance;</li> <li>b. regular reviews of issues and trends arising from complaint handling;</li> <li>c. regular updates on the outcomes of the Ombudsman's investigations and progress made in complying with orders related to severe maladministration findings; and</li> <li>d. annual complaints performance and service improvement report.</li> </ul>	Yes	<a href="https://www.rbkc.gov.uk/contact-us/complaints-comments-and-compliments">https://www.rbkc.gov.uk/contact-us/complaints-comments-and-compliments</a>	<p>In addition to the council's annual Complaints Report, an annual performance report for Housing and Social Investment is presented to the Housing and Communities Select Committee (this includes performance reporting for Housing Management complaints).</p> <p>Additionally, a quarterly Housing Management performance report (which includes performance reporting on complaints) is brought to the Leadership Team Meeting.</p>
9.8	<p>Landlords must have a standard objective in relation to complaint handling for all relevant employees or third parties that reflects the need to:</p> <ul style="list-style-type: none"> <li>a. have a collaborative and co-operative approach towards resolving complaints, working with colleagues across teams and departments;</li> <li>b. take collective responsibility for any shortfalls identified through complaints, rather than blaming others; and</li> <li>c. act within the professional standards for engaging with complaints as set by any relevant professional body.</li> </ul>	Yes		<p>We foster collaborative relationships with other services. This is facilitated by our head of service and our resident engagement and complaints manager, who ensure positive cooperation across teams and service areas.</p> <p>We strive to create a collaborative approach and encourage collective responsibility so that we are not drawn into an unhelpful blame culture. Our council values and behaviours are expected to be demonstrated within our roles daily and these are further</p>

				incorporated in supervision, 1:1 and performance reviews.
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