

REPORT TO: CILEx REGULATION BOARD

FOR: APPROVAL

DATE: 20 February 2019

REPORT TITLE: 2018 Complaints and Compliments Annual Report

SUBMITTED BY: Stuart Dalton, Director of Policy & Enforcement

PURPOSE OF REPORT:

1. To report on complaints and compliments about CILEx Regulation for 2018.

BACKGROUND:

2. The Board received the first annual review of corporate complaints and compliments at its meeting in February 2017 for 2016 complaints and compliments. CILEx Regulation has continued to report complaints in line with the Service Complaints Policy and the customer commitment¹ for an open and transparent culture. Staff are encouraged to record compliments given by external and internal customers and stakeholders. These are also celebrated at staff meetings.
3. Corporate complaints are reported to the Board quarterly as part of the operational performance report and also to the Legal Services Board on a quarterly basis as part of the LSB Regulatory Assessment.

KEY ISSUES FOR CONSIDERATION:

Complaints numbers, escalations and whether upheld:

Stage 1 Complaints 2018	Q1	Q2	Q3	Q4	Total
No. Stage 1 complaints (corporate)	1	2	2	4	9
Deferred	1	0	0	2	3
% response within 15 working days	100%	50%	50%	100%	
% Stage 1 complaints upheld or partially upheld	Deferred	50%	50%	100% (2 deferred)	
Stage 2 Complaints 2018					
No. Stage 2 complaints (corporate)	0	1	0	0	1
% response within 15 working days	-	0%	-	-	
% Stage 2 complaints upheld or partially upheld	-	0%	-	-	

4. The total number of complaints in 2018 was 12, including three which were deferred pending an enforcement investigation under our Enforcement Rules (Rules). Where complaints overlap with Enforcement investigations to avoid

¹ <https://www.cilexregulation.org.uk/about-us/our-customer-commitment>

distracting from our primary regulatory duty and avoid the complaints process being used as a means to put pressure on the regulator to deliver a certain outcome, complaints may be deferred.

5. Through proactive good customer service, four complaints were resolved informally and did not reach Stage 1 and only one complaint progressed to Stage 2.
6. It is healthy to receive and record complaints and demonstrates a transparent learning culture. All organisations make mistakes therefore it is also normal and healthy to report complaints being upheld at Stage 1.
7. Equally, an ideal system is a healthy number of Stage 1 complaints, with some upheld but few complaints needing to escalate to Stage 2 due to effective Stage 1 investigation and resolution. A useful performance indicator is the number of complaints escalating to Stage 2 that are upheld, which can be an indication of poor Stage 1 investigation and resolution. It is positive to report only one complaint escalated to Stage 2 and it was not upheld.

Type:

8. To help identify any themes, complaints are recorded against the following categories. Complaints that mentioned more than one issue were recorded against the category that best reflected the main source of dissatisfaction.

Type of Complaint	No. of Complaints
Poor service	10
Policy/procedure/Rules	2
Staff behaviour/attitude	0
Service failure	0
Delay	0
Lack of response	0
Invoicing/payment	1
Other	0

9. In reviewing the seriousness of the complaints, none of the complaints related to matters of exceptional risk or loss, which is important to consider from a financial, current and future business and reputation management perspective.

Business Area:

10. Eight complaints were received about the work of the Practitioner Authorisation and Supervision (PAS) team. Of these, six were about poor service. Three related to delays in communications and places on the advocacy course and were all resolved informally before becoming a formal Stage 1 complaint. The others related to the timeliness of an application referral to the Admissions and Licensing Committee (ALC), this was found unjustified, and the lack of support provided for a Qualifying Employment application, this was found partially justified and an apology given. A complaint about invoicing was also resolved informally.

11. Two complaints about the PAS team were about the impact of policy/procedure/Rules, in particular the Exemptions Policy. Both were found partially justified and the Exemptions Policy is being reconsidered as a result.
12. Of the 13 complaints received four were about the work of the Enforcement team. All four were about poor service. Three complaints were by members dissatisfied with the handling of investigations into their conduct, these have been deferred while the investigation under our Rules proceeds. If at the conclusion of the matter they still wish to complain about our handling of it, the complaint will be considered at that stage and a response provided. The other complaint was from a member of the public unhappy with the outcome of their complaint made about a regulated individual. This was found unjustified both at Stage 1 and following a Stage 2 review.
13. One complaint was received about the Entity team from an applicant who was unhappy with the response to their application for entity regulation. This was found partly justified and an apology given.

Learning:

14. The complaints regarding the Exemptions Policy were used to reconsider the policy and this has been incorporated into the education standards consultation launched in December 2018. The complainant has been encouraged to respond to the consultation.
15. The complaint about the entity team highlighted the challenge we currently have on balancing advice and support with the assessment of an application to make sure it meets our rules, where support from CILEx remains limited. The individual has decided to reapply for authorisation with us.
16. Staff attended Communicating and Managing Vulnerable People training on 5 September last year. Staff learnt about recognising vulnerable people, how our own emotional well-being impacts on our communication skills, as well as ways to deal with difficult situations. This was part of the annual offer of training, it was well received with staff able to adopt what they have learnt in their everyday interactions and service provided to consumers, members and the public.
17. The Enforcement Team undertook Panel Rules and best practice training in December 2018, which helps ensure the Rules are followed correctly and consistently across the Enforcement Team.

Compliments:

18. The following compliments have been recorded in 2018:

Team	No. of Compliments
Comms	1
Consumer and Policy	1
Enforcement	8
Entity Authorisation and Supervision	3

Practitioner and Authorisation (Advocacy)	2
Practitioner and Authorisation (CPD)	4
Practitioner and Authorisation (Practice Rights)	3
Practitioner and Authorisation (QE)	7
Practitioner and Authorisation (WBL)	15
Practitioner and Authorisation (General)	1
Other	5
Total	50

19. Some operational areas are more likely to attract positive feedback. Staff are reminded regularly to share compliments they have received from colleagues and stakeholders. Some staff remember to do this better than others.

Source of Compliments:

20. One of the compliments was from a consumer. Five compliments were received from external stakeholders, including the LSB. Three compliments were from internal stakeholders and four from panels and committees. The remaining 37 compliments were from regulated individuals and entities.

Type of Compliments:

21. Positive praise, over and above a thank you, is treated as a compliment. A selection of compliments is attached at **appendix 1**.

Future Reporting:

22. Any feedback on how future data can most helpfully be presented is welcome.

RECOMMENDATION:

- To receive and approve the annual report on complaints and compliments 2018.

APPENDICES:

Appendix 1: Sample Compliments

CILEx Regulation Compliments

I would like to thank you for your exceptional customer skills and prompt responses

Thank you for assessing my application so quickly! I am so grateful for your quick replies and support! Wishing you all the best!


Thank you for all your help with obtaining these Practice Rights. Your help and guidance throughout the Application process has been invaluable and the support I've received has been over and above that which I expected.

PCP reports were highly praised by panel members. They said the reports were well written, clear and much improved on previous reports

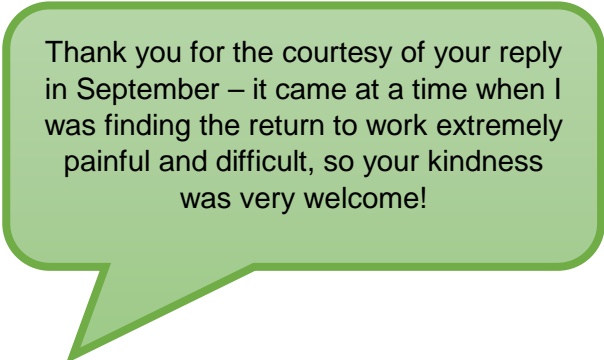
Georgina has been a huge support and help to me when I was preparing for my qualifying employment. I have been incredibly stressed during the whole process and Georgina has calmed me down and explained all processes very carefully. She is a true asset to your organisation, really understands the staples of your business and the CILEX qualification route.

Many thanks for the letter and for the speed at which the assessment has been carried out.

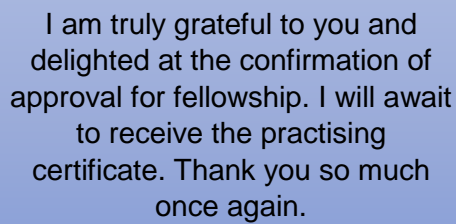
Paul and Callum had been very pleased with the visit last Wednesday and that it had gone really well. They were impressed with how Giles and David had come over, our knowledge of the firms and process and even more pleasing to them was that we had anticipated the firms and structures that we might see and had a clear way forward.



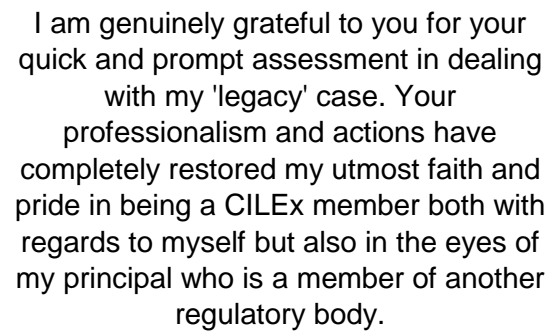
Thanks very much for your kindness, you are a Star.



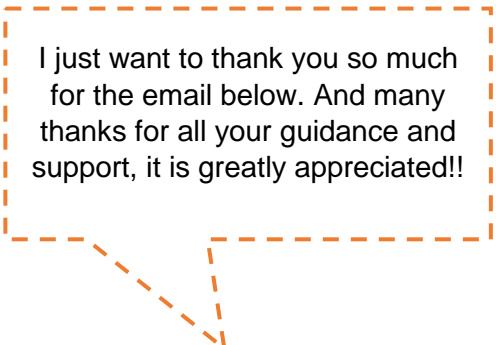
Thank you for the courtesy of your reply in September – it came at a time when I was finding the return to work extremely painful and difficult, so your kindness was very welcome!



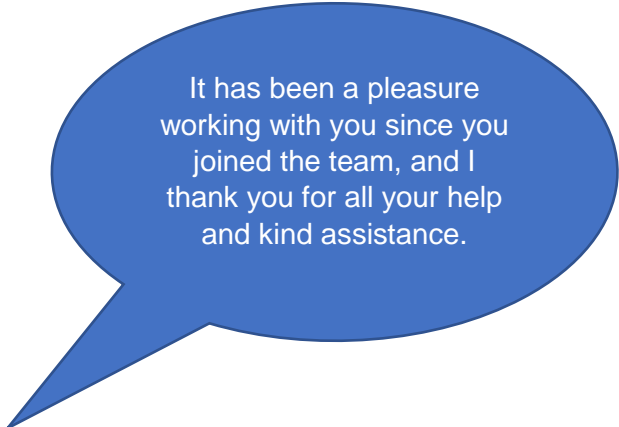
I am truly grateful to you and delighted at the confirmation of approval for fellowship. I will await to receive the practising certificate. Thank you so much once again.



I am genuinely grateful to you for your quick and prompt assessment in dealing with my 'legacy' case. Your professionalism and actions have completely restored my utmost faith and pride in being a CILEx member both with regards to myself but also in the eyes of my principal who is a member of another regulatory body.



I just want to thank you so much for the email below. And many thanks for all your guidance and support, it is greatly appreciated!!



It has been a pleasure working with you since you joined the team, and I thank you for all your help and kind assistance.