

REPORT TO: CILEx REGULATION BOARD

FOR: DECISION

DATE: 26 February 2020

REPORT TITLE: ITEM 12 - 2019 Complaints and Compliments Annual Report

SUBMITTED BY: Stuart Dalton, Director of Policy, Governance & Enforcement

PURPOSE OF REPORT:

1. To report on complaints and compliments about CILEx Regulation for 2019.

BACKGROUND:

2. CILEx Regulation reports complaints to the Board in line with the Service Complaints Policy for accountability and to improve standards as well as our commitment to 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 2019	Q1	Q2	Q3	Q4	Total
No. Stage 1 complaints (corporate)	0	1	0	1	2
Deferred	-	0	-	0	
% response within 15 working days	-	100%	-	100%	
% Stage 1 complaints upheld or partially upheld	-	0%	-	0%	
Stage 2 Complaints 2019					
No. Stage 2 complaints (corporate)	0	0	0	0	0
% response within 15 working days	-	-	-	-	
% Stage 2 complaints upheld or partially upheld	-	-	-	-	

4. There were two stage 1 complaints in 2019, compared to six stage 1 complaints in 2018. There were no stage 2 complaints in 2019 compared to one in 2018.

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5. 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 if complaints are upheld at Stage 1 given all organisations make mistakes. Given the relatively low number of complaints, each team were contacted to confirm there had not been any additional complaints that had not been captured.
6. An ideal culture welcomes complaints, recognising the value of complaints to identify and rectify errors and to identify learning to improve practice. Equally, a useful performance indicator is the number of complaints escalating to Stage 2 that are upheld, which can be an indication of the quality of the Stage 1 investigation and resolution. It is positive to report no complaints escalated to Stage 2 but that the right to proceed to stage 2 and how to do so was clearly set out at the end of the complaint responses.

Type:

7. 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	1
Policy/procedure/Rules	0
Staff behaviour/attitude	0
Service failure	0
Delay	1
Lack of response	0
Invoicing/payment	0
Other	0

8. 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:

9. The two complaints related to the Enforcement Team and both were linked to the outcome of the independent panels with service issues included. Both complaints focused on disagreeing on the outcome with the Panel and wanting the outcome overturned. But both contained service elements that did fall within the service complaints process. On investigation, the service issues were not justified. The delay complaint showed the investigation was carried out within expected timelines. The poor service complaint related to assertions of the investigator acting beyond their jurisdiction e.g. asking another regulator to close a related complaint from that complainant.

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10. Whilst not captured on the table, two people tried to make a service complaint about the decision of an enforcement panel. Both were rejected as complaints given the service complaints policy excludes complaints about the decision of the independent panels. There were no service issues within either of these complaints to consider.
11. No complaints were received about the work of the Practitioner Authorisation and Supervision (PAS) team. This compares to eight in 2018. This may reflect a change in management within the team given the compliments for the PAS team indicate positive experiences.
12. One informal complaint relating to the Entity team was resolved informally. This related to the level of evidence required for authorisation.

Learning:

13. Enforcement timescale standards and targets have been added to the Performance data that goes to Board.
14. The need to provide clearer information to conduct 'complainants' around their rights of complaint to help ensure realistic expectations and understanding of the limitations of information-providers rights in relation to regulator conduct decisions. This is covered in the Enforcement improvements paper to February 2020 Board.

Compliments:

15. The following compliments have been recorded in 2019:

Team	No. of Compliments
Consumer and Policy	1
Enforcement	3
Entity Authorisation and Supervision	6
Practitioner and Authorisation (Advocacy)	3
Practitioner and Authorisation (CPD)	4
Practitioner and Authorisation (Practice Rights)	3
Practitioner and Authorisation (QE)	3
Practitioner and Authorisation (WBL)	32
Practitioner and Authorisation (General)	5
Other	15
Total	75

16. 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.

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Source of Compliments:

17. Three of the compliments was from a board member. Six compliments were received from external stakeholders, including the LSB and MoJ. Eight compliments were from internal stakeholders and four from panels and committees. One compliment was from an external event speaker. The remaining 52 compliments were from regulated individuals and entities.

Type of Compliments:

18. Positive praise, over and above a thank you, is treated as a compliment. A heartening selection of compliments, demonstrating a theme of good customer service, is attached at **Appendix 12.1**.

RECOMMENDATION:

19. To receive and **APPROVE** the annual report on complaints and compliments 2019.

APPENDICES:

Appendix 12.1: Sample Compliments