



REPORT TO: CILEx REGULATION BOARD

FOR: DISCUSSION

DATE: 23 FEBRUARY 2021

REPORT TITLE: Annual Complaints and Compliments Report

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

PURPOSE OF REPORT:

1. To report on complaints and compliments about CILEx Regulation for 2020.

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 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 2020	Q1	Q2	Q3	Q4	Total
No. Stage 1 complaints (corporate)	1	2	0	0	3
Deferred	0	1	0	0	1
% response within 15 working days	100%	50%	-	-	
% Stage 1 complaints upheld or partially upheld	100%	50%	-	-	
Stage 2 Complaints 2020					
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 three stage 1 complaints in 2020, compared to two stage 1 complaints in 2019. 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.
5. 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.

Type:

6. 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	0
Policy/procedure/Rules	0
Staff behaviour/attitude	0
Service failure	1
Delay	0
Lack of response	2
Invoicing/payment	0
Other	0

7. 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:

8. Enforcement case 1: was a complaint about the decision not to proceed with disciplinary action against a member where the decision was reviewed by the Professional Conduct Panel (PCP) and the PCP agreed with the investigating officer conclusion. Of the four complaint points only one was upheld – relating to communication. The matter was referred to the PCP for review, but it was not made clear to the complainant that the right under the Enforcement Rules is to have the decision reviewed by the PCP rather than a right of complaint under the Service Complaints Policy. The complainant was informed the decision was referred to the PCP at the time, but the complainant still believed their complaint was being investigated separately.
9. Enforcement case 2: The complainant wanted to know the details of why his complaint was rejected. He had been informed about the outcome, but was not entitled to know the particulars.

10. Practitioner team case: there was one complaint in relation to the forwarding of a practice rights application to the external assessor for review. The delay related to heavy workload caused by the CRM implementation. The complaint was upheld although the individual concerned was working long hours and this was an isolated incident.

Learning:

11. The complaint upheld which concerned the Practitioner team related to balancing additional workload caused by CRM demands. The team reassessed time management and improved communication of workload.
12. Making the Service Complaints Policy clearer on the lack of right of complaint about decisions referred to independent panels.

Compliments:

13. The following compliments have been recorded in 2020:

Team	No. of Compliments
Consumer and Policy	0
Enforcement	0
Entity Authorisation and Supervision	5
Practitioner and Authorisation (Advocacy)	1
Practitioner and Authorisation (CPD)	0
Practitioner and Authorisation (Practice Rights)	0
Practitioner and Authorisation (QE)	0
Practitioner and Authorisation (WBL)	66
Practitioner and Authorisation (General)	0
Other	1
Total	73

14. 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:

15. The majority of compliments received in 2020 were from regulated individuals and entities. There was one compliment from a CRL Board member and one from the Chair of the LSB for the entity team. One compliment was from a member of staff, expressing their gratitude for mental health support from a colleague over the lockdown period.



Type of Compliments:

16. Positive praise, over and above a thank you, is treated as a compliment. A selection of compliments, demonstrating a theme of good customer service, is attached at **appendix 13.1**.

RECOMMENDATIONS:

- To receive and **APPROVE** the annual report on complaints and compliments 2020.

APPENDICES:

Appendix 13.1: Sample Compliments

CILEx Regulation Compliments

I am extremely grateful to you for replying me back today. This makes the difference between CILEx and other regulatory authorities. CILEx is the best. I feel proud to be part of such a regulatory authority where people like you are present caring for members of the CILEx.

You have all been very helpful with every phone call and enquiry I have made. Every person I have communicated with at CILEx has gone the extra mile to assist me and they have been very prompt.

Both yourself and Bethany Randfield have been very helpful to me at such a difficult time of my being made redundant.

I just wanted to say a massive thank you to both of you and all the staff at CILEX you guys have been amazing. I can't thank you enough for all your support and assistance.

Please can I also take this opportunity to say a big thank-you to CILEx Regulation (and particularly Bethany Randfield) for all of your help in the challenging circumstances.

Bal, I just wanted to thank you for the emails you have been sending re stress and mental health, they are very informative and useful to me. I have been directing my team to read and action them, so thank you for these and also for the Yoga Nidra session you lead, they are very much appreciated.

Thank you to CILEx for processing and assessing my application so quickly despite the current circumstances.