

<b>Date</b>	<b>24 February 2022</b>
<b>Item</b>	<b>15.0</b>
<b>Title</b>	<b>Annual complaints and compliments report</b>
<b>Author</b>	<b>Patsy Morrissey, Interim Director of Governance</b>
<b>Purpose</b>	To report on corporate complaints and compliments about CILEx Regulation for 2021
<b>Recommendation</b>	To receive and <b>APPROVE</b> the annual report on complaints and compliments for 2021
<b>Impact assessment</b>	Complaints provide valuable opportunities to identify improvements to our service that will benefit future service users. Failure to provide a fair, consistent and structured process to handle complaints about our service may lead to reputational damage
<b>Appendices</b>	<b>15.1</b> Sample Compliments
<b>Publication</b>	Yes

### **Purpose of report**

1. To report on corporate complaints and compliments received by CILEx Regulation in 2021.

### **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 also 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:

<b>Stage 1 Complaints 2021</b>	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>	<b>Total</b>
No. Stage 1 complaints (corporate)	1	3	0	3	7
Deferred	0	1	0	0	1
% response within 15 working days	100%	50%	-	66%	-
% Stage 1 complaints upheld or partially upheld	0%	100%	-	66%	-
<b>Stage 2 Complaints 2021</b>	<b>Q1</b>	<b>Q2</b>	<b>Q3</b>	<b>Q4</b>	<b>Total</b>
No. Stage 2 complaints (corporate)	-	-	-	1	1
% response within 15 working days				100%	-

% Stage 2 complaints upheld or partially upheld	-	-	-	0%	-
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4. There were seven stage 1 complaints in 2021, compared to three stage 1 complaints in 2020. 1 complaint escalated to stage 2 but was subsequently not upheld.
5. Although the number of complaints has more than doubled it remains relatively low when considered against the volume of interactions that our staff have.

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. While delay was not recorded as a main theme of complaint it did feature across a number of complaints as a contributing factor to dissatisfaction.

Type of Complaint	No. of Complaints
Policy/procedure/Rules	1
Staff behaviour/attitude	0
Service failure	2
Delay	0
Lack of response	1
Invoicing/payment	0
Other	3 (Includes 1 stage 2 complaint which is "Other")

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 Stage 1 complaints:

8. Enforcement case 1: this complaint was an alleged service failure. The complainant did not receive the acknowledgements and updates they were expecting. Although part of this complaint was upheld because it was clear two initial acknowledgments had not been sent, the main complaint response was not upheld because a full investigation response was sent within the 1-year timeframe.
9. Enforcement case 2: this complaint was cancelled because it was outside the jurisdiction of the service complaint procedure. The complainant was unhappy with the appeal decision which was passed to the Professional Conduct Panel to investigate.
10. Entity case 1: this complaint was upheld due to delays caused by a member of staff being on annual leave which delayed the entity team setting up their client account, that had been confirmed would be set up 2 months earlier.

11. Practitioner team case 1: this complaint was upheld in part, due to the delay in sending an acknowledgment. The other issue regarding criminal and other advocacy certificates was an historic issue which was being pursued by rule change with the LSB.
12. Practitioner team case 2: the aspect of the complaint relating to the service and delays was upheld because they were found to fall lower than the level that should be expected, particularly relating to the feedback on the initial submissions for assessment. However, in order for the external assessor to make a decision regarding the Immigration Practitioner application further information was required from the applicant.
13. Practitioner team case 3: this complainant felt ignored through the application process. The complaint was partially upheld because it was clear that there had been a lack of communication. In order to rectify this, the Manager of the PAS team set up a weekly update for the applicant.
14. Practitioner team case 4: complainant was unhappy with the way their complaint regarding a CILEX member had been handled and was unhappy with the outcome of the Professional Conduct Panel hearing. The level of service received was found to be adequate and the service complaints process could not be utilised to investigate outcomes of investigation into the conduct of CILEX Members. The complaint was not upheld.

#### Business Area Stage 2 complaints

15. Practitioner team case 1: the complainant escalated her complaint to stage 2 as she remained unhappy with the outcome and felt that the service she had received was inadequate. As the complaint was fully investigated, all processes and timescales had been adhered to, the stage 2 complaint was not upheld.

#### Compliments:

16. Positive praise, over and above a thank you, is treated as a compliment. The majority of compliments received in 2021 were from regulated individuals and entities. The compliments recorded in 2021 are categorised as follows:

<b>Team</b>	<b>No. of Compliments</b>
Consumer and Policy	0
Enforcement	1
Entity Authorisation and Supervision	4
Practitioner and Authorisation (Advocacy)	0
Practitioner and Authorisation (CPD)	0
Practitioner and Authorisation (Practice Rights)	1
Practitioner and Authorisation (QE)	3
Practitioner and Authorisation (WBL)	19
Practitioner and Authorisation (General)	14
PAS and Entity	1
<b>Total</b>	<b>43</b>

17. Some operational areas are more likely to attract positive feedback. Staff are reminded regularly to share compliments they have received from colleagues and stakeholders.
18. A selection of compliments, demonstrating a theme of good customer service, is attached at **APPENDIX 15.1**.

### **Recommendation**

19. The Board is asked to receive and **APPROVE** the annual report on corporate complaints and compliments 2021.