

Policy Name:	<i>Complaints Policy</i>
Policy Ref:	POL/CO/CO/CC/0001A
Who it applies to:	Members, CILEX Employees, CILEX Board and Committee members, Volunteers and associated persons, Centres, other users of CILEX.
Date of issue:	V3.2 September 2021
Date last revised:	July 2023
Policy Type:	Corporate
Policy Owner:	Corporate Compliance Manager
Approved by:	Corporate Policy Review Panel
Review date:	<i>December 2023</i>
Equality Impact Assessment Screened	Yes
Contractual terms and conditions which will be changed following legal requirements	No

Complaints Policy

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Introduction

This Policy forms part of the Chartered Institute of Legal Executives' (CILEX) internal control and corporate governance arrangements. CILEX means here the Chartered Institute of Legal Executives and its subsidiaries.

The CILEX board is committed to ensuring that effective policies operate throughout CILEX.

This policy is not contractual but is intended as a statement of current CILEX strategy and its commitment to operate a fair procedure, considering statutory and other guidelines. CILEX therefore reserves the right to amend this policy and procedure, as necessary, to meet any changing requirements.

This policy and associated procedure set out good practice in the management of complaints and it provides all parties with a set of guidelines that are fair and will be applied consistently.

At CILEX we endeavour to provide high quality services to our customers however, we recognise that on occasion, despite our best efforts, mistakes can be made. By welcoming feedback through our Complaints procedure, we can try to remedy situations that have gone wrong and continue to improve our service design and delivery as well as learn from examples of positive feedback about things that have been done well.

CILEX strives to empower staff to act decisively to resolve complaints. Learning opportunities are available for all CILEX employees and representatives by way of additional training and workshops on our customer care processes where required.

Whilst we welcome feedback on all aspects of customer care, this policy and procedure is mainly focussed on complaint handling and shall apply to complaint handling for all services and products within CILEX, unless it is overridden by legislative requirements.

We also welcome your feedback about things that have gone well, which we can use to develop our processes and practices to continually improve.

Policy Statement

CILEX is committed to respond to complaints about our service and products in a timely and open manner, ensuring that we look at the matters raised impartially, consistently and thoroughly.

We view complaints as an important and useful source of feedback about how we have performed and how we can improve in future. When things go wrong, we will acknowledge our

mistakes and try to put things right. We promise that we will not treat you unfairly because you have raised a complaint with us and that your matter will be dealt with sensitively, taking into account your individual circumstances and establishing the facts of your case. We promise to listen to you to understand the complaint and the outcome that you are seeking.

We have a four-stage approach to dealing with complaints. Each stage must be followed in numerical order before it can be progressed to the next stage and this should be signposted in the correct manner and at the right time by the person receiving the complaint.

When responding and providing the outcome to any given stage, we will give reasons for our decisions based on our guidelines, policies and statute (where applicable) and will always try to manage your expectations regarding timeframes and outcomes. CILEX will ensure that decisions are appropriate and fair and that the remedies provided are proportionate. Remedies will generally take into account any injustice or hardship caused by pursuing the complaint as well as any resulting from the original dispute.

CILEX will always act fairly regarding complaints made about staff members as well as towards complainants and will investigate objectively, impartially and appropriately. Where a particular member of staff has been complained about, we will inform them and where appropriate, give them an opportunity to respond.

Most people who contact us are responsible and display acceptable behaviour, however on rare occasions this is not the case. We accept that when contacting us to raise an issue, individuals may be distressed, frustrated or angry however we expect to be treated as we would treat others¹.

CILEX will:

- treat you politely and considerately;
- respect your dignity and privacy;
- listen and respect your views;
- always try to provide information in a way that can be understood; and
- where possible, make reasonable adjustments to our service, processes or procedures in relation to your comments.

Purpose and scope of policy

This policy outlines how you can raise a complaint or provide feedback about our policies, processes, employees, members or others working for us. This policy explains how we will handle your complaint and what to expect during the process.

Anyone who comes into contact with our service and is unhappy or dissatisfied can complain to us. If we consider your complaint to be of a very serious nature, we may decide to open an internal investigation.

¹ Refer to the Unreasonably Persistent and Unacceptable Behaviour Policy

This policy does not cover:

- complaints about CILEX Law School.
- complaints about CILEX Regulation Ltd.

CILEX Law School and CILEX Regulation Ltd are subsidiary companies of CILEX and each company has its own complaints policy. Their contact details can be found at Appendix A.

Who and how to contact:

If you are unsure who to contact, please complete the online general enquiry form by logging into your myCILEX account on the CILEX website, <https://cilexportal.cilexgroup.org.uk/General-Enquiries> selecting 'Feedback: Making a Complaint' from the drop down menu, which will then be allocated to the most appropriate team by the Customer Service Team Leader².

A complaint may be received by any team within CILEX, either by email or telephone however, CILEX encourages individuals to use the online general enquiry form³ for initial Stage 1 complaints to ensure that the matter is progressed in line with the complaints procedure. This also means that should a complaint progress to a subsequent stage there is continuity and efficiency in the investigation and the same information will not need to be duplicated thus providing a full yet succinct audit trail of events.

It is advised that when using the online general enquiries form to lodge a complaint that the following information is provided to us:

- a detailed account with dates, facts, names of people involved
- how you think your complaint could be resolved
- documentary evidence (you have the option to upload a file when completing a general enquiry form)

We stress the need for as much relevant information to be provided as possible from the outset to give us an accurate picture of events and to prevent the need for requesting further clarification. The complaint investigation should cause minimal inconvenience to you so the need for full disclosure at the start is crucial.

Having completed the general enquiries form you will subsequently receive an automated response from CILEX Customer Support confirming receipt of your enquiry You will then be contacted by a member of the Customer Services Team within timescales stated on the email. ⁴

² Within the Customer Voice and Reporting Team

³ See Appendix B and C

⁴ See Appendix D

Social Media comments:

We will not usually engage in complaint correspondence through social media channels; however, we may try to contact you directly to follow-up on any comments you have made.

Performance monitoring and reporting

Key complaint data relating to volumes and circumstances is collated and analysed on an on-going basis. The data is regularly reported to the Audit and Risk Committee.

Learning from complaints is a powerful way of improving service, enhancing the reputation of CILEX and increasing trust among the people using our services and products. Where complaints have led to a change in services, policies or procedures, they may be discussed in more detail with the Executive Committee and Audit and Risk Committee and reported internally to all staff. The purpose of this is to:

- drive improvement in service delivery
- boost confidence in the complaints process
- help to identify patterns in complaints
- help to effect changes to prevent the problem from recurring.

Responsibilities

It is the responsibility of all Employees to be familiar with the Complaints Policy and when someone complains to them, that they follow the correct procedure.

It is the responsibility of the Customer Voice and Reporting Team and the Customer Service Team (regarding Stage 1 and Stage 2 of the complaints process) and of the Corporate Compliance Manager (for Stage 3 and Stage 4 complaints), to acknowledge any complaint received, and to provide a response about the subject to the individual making the complaint.

It is the responsibility of the Corporate Compliance Manager to ensure that this policy and procedure is reviewed at 18-month intervals and updated when necessary in response to feedback or regulatory requirements .

Legal Obligations

CILEX will treat everyone the same both during and after a complaint has been raised ([Equality Act 2010](#)).

References

The following policies and standards fall within the reach of this policy:

- [Archive, Retention and Destruction](#) Policy
- Conflict of Interest Policy
- Customer Service standards
- [Data Protection Policy](#)
- [Disciplinary Policy](#)
- [Equality & Diversity Policy](#)
- [Information Security Policy](#)
- Investigations, Social media, Media handling
- Privacy Policy
- [Refunds Policy](#)
- Safeguarding Policy
- [Unreasonably Persistent Contact and Unacceptable Behaviour Policy](#)
- [Whistleblowing Policy](#)

Competences

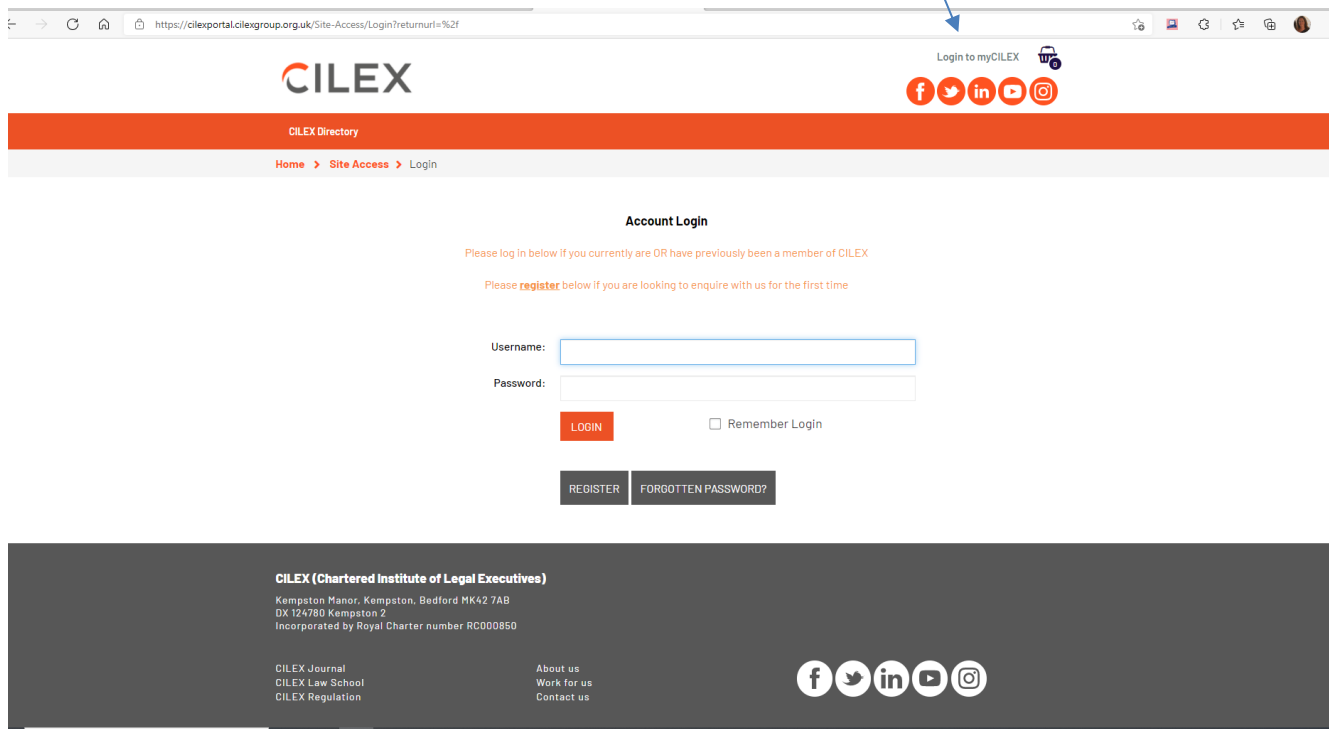
It is important that all employees understand their role and responsibilities and where they are able, to resolve any issues. Where they are unable to do this, they will notify their line manager as soon as possible.

Appendix A

Contacting Us

<p>Director of Policy, Governance & Enforcement CILEX Regulation Ltd.</p>	<p>CILEX Regulation Ltd College House Manor Drive Kempston Bedford MK42 7AB Email: info@CILEXregulation.org.uk</p>
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Appendix B



Appendix C

https://cilexportal.cilexgroup.org.uk/myCILEX/Contact-Us

Log out of myCILEX

CILEX

myCILEX Shop Become a Member CILEX Directory Contact Us

Home > myCILEX > Contact Us

My Account >
Become a Member
My Learning >
My Events >
Shop
CILEX Foundation
Contact Us

Customer Status: Choose... * Required field
Customer Type: Choose... * Required field
Firstname: Marie
Lastname: Hoban
Email: Marie.Hoban@cilex.org.uk
My Query Relates To...: Choose... * Required field
Query Detail: Enter value... * Required field
File Upload (1) CHOOSE FILE No file chosen
File Upload (2) CHOOSE FILE No file chosen
SAVE

CILEX (Chartered Institute of Legal Executives)
Kempston Manor, Kempston, Bedford MK42 7AB
DX 124780 Kempston 2

Appendix D

