

Complaints Analysis Tool

This tool is designed to help you to identify useful learning from complaints. It can help you to consider what went wrong, to analyse the underlying causes of the complaint, and to agree what could be put in place to prevent or reduce the risk of similar instances occurring in the future.

1. What is the complaint?

Include general details of the complaint, including the issues upheld.

2. What was the impact of the complaint?

Consider who was affected, and to what extent. Include the impact on the complainer (with reference to their own statements on how they were affected), as well as the impact on the firm (e.g. time taken to deal with the complaint, impact on practitioner wellbeing, reputational damage, loss of business, cost of compensation and/ or complaints levy).

3. Why did it go wrong?

Consider the underlying factors which led to the complaint. Think about the human factors, systems and processes that contributed to the situation.

4. What could have been done differently?

Having identified the factors above, what changes or improvements could lead to a different outcome, or to avoid the same issue arising in future?

5. What would help us avoid this issue in future?

Consider issues such as new policies, processes or procedures or staff training. Be specific about what solutions you need to put in place.

6. How can we implement the identified improvement(s)?

Consider how to resource and implement the required changes, task an identified person with their delivery and put in place a plan, with timescales and resource. For example, if staff training is needed, who is to be trained, on what, and when? If new processes are required, who will develop and implement them? Identify any follow up required.

7. What is our timetable for review?

Consider whether the solutions implemented have eliminated or lowered the risk of re-occurrence. Periodic reviews can help to identify immediate improvements, as well as longer term gains. To do this, you could, for example, review your complaints log for similar issues, review other files for similar cases, or assess staff knowledge or competence following training.

8. What are the longer term gains?

Following review, assuming the issues identified have been eliminated or reduced significantly, consider whether any savings have been made as a result of the changes. This might include time spent dealing with complaints, compensation paid for complaints upheld and SLCC Complaints levy. Also consider other benefits such as improved staff confidence and wellbeing, any increase in fees income, client satisfaction or referrals.