

Categorisation of complaints and authority to take decisions

Category	Types of Complaint	Staff final decision making powers	Case allocation
1.	<p>Internal complaints relating to:</p> <ul style="list-style-type: none"> • Breaches of practising/authorisation requirements (CPD, authorisation to practise, indemnity insurance and registration to conduct litigation); • Breaches of the QASA requirements; • Breaches of Equality and Diversity requirements for chambers to publish data; • Criminal convictions for offences of dishonesty or deception; • Criminal convictions under s.5 of the Road Traffic Act 1988 • Failures to co-operate with the regulator and/or respond to enquiries; • Failures to comply with: the imposition of administrative sanctions; orders of Tribunals; or sanctions imposed under the DBC procedure; • Failures to complete chambers monitoring or risk assessment process. 	<p>All staff in the I&H Team of Officer level or above have the power to:</p> <ul style="list-style-type: none"> • dismiss a complaint (but not in relation to criminal convictions for dishonesty or deception – see Regulation rE87.5 of the Complaints Regulations) <p>The Director of PC, the I&H Manager and the Casework Supervisors also have the power to decide to:</p> <ul style="list-style-type: none"> • withdraw complaints • dismiss complaints with advice • impose administrative sanctions • refer complaints direct to a Disciplinary Tribunal or the Determination by Consent procedure • add additional charges where evidence to support them was revealed during the course of the investigation e.g. failure to respond 	<p>Case Officer Senior Case Officer Casework Supervisor I&H Manager</p>
2.	<p>External complaints:</p> <ul style="list-style-type: none"> • that do not fall into category 3 <p>Internal complaints:</p> <ul style="list-style-type: none"> • that do not fall into category 1 or 3. 	<p>The Director of PC, the I&H Manager and the Casework Supervisors have the power to decide to:</p> <ul style="list-style-type: none"> • dismiss a complaint with or without advice • withdraw complaints • impose administrative sanctions • add additional charges where evidence to support them is 	<p>Case Officer Senior Case Officer Casework Supervisor I&H Manager</p>

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		<p>revealed during the course of the investigation e.g. failure to respond</p> <ul style="list-style-type: none"> • notify an Inn of concerns about a barrister’s suitability to be a pupil supervisor 	
3.	<p>External and internal complaints that:</p> <ul style="list-style-type: none"> • are complex either factually or legally • have attracted, or may attract, media attention • involve wider implications for the public interest, the Bar or a section of the Bar, or the BSB • have been referred by another approved regulator. 	<p>No member of staff has the power to take final decisions on complaints. All complaints must be referred to the full Committee for decisions on whether to dismiss, impose administrative sanctions, refer to disciplinary action or make an application for a disqualification order</p>	<p>Senior Case Officer Casework Supervisor I&H Manager</p>