

Complaints and investigations: What to expect from the CLC

When we investigate concerns you have reported, we will carefully review all of the information held about the Practice/Individual.

Initial review

After reviewing the information we receive, we may decide that:

- we need to contact the Practice/Individual to resolve the matter informally to ensure a breach does not happen again or to ask the Practice/Individual to improve their processes or procedures;
- we need to pursue a detailed formal investigation which could lead to disciplinary sanctions;
- no further action is required.

All reports made are recorded and kept on file in case it is needed in the future.

If we decide we need to act

If we decide that there are public protection issues, we will draft allegations and provide the Practice/Individual an opportunity to respond to it before it is passed to the Adjudication Panel for further consideration.

This stage in the process can be lengthy as we need to collate as much information as we can.

Contact with you if we are investigating

We aim to update you at three-monthly intervals if we have not been able to conclude the case sooner. However, you are able to contact us at any time if you would like an update.

We will always inform you about the outcome of an investigation.

Length of investigation

Due to the complexity of some of the issues we deal with, the investigation process can be lengthy and can last some months, particularly if there are ongoing third party investigations such as criminal proceedings or an insurance claim.

Many cases are concluded within three months and most cases within 12 months.

What action we will take

The majority of the matters brought to our attention do not result in formal disciplinary sanctions (such as fines or suspensions) because we try to remedy matters at an early stage to change behaviours and ensure future compliance.

Matters likely to result in formal disciplinary sanctions are matters relating to:

- Mismanagement of client money;
- A CLC Regulated person being convicted of a criminal offence.