



insight training and competence complaints management

overview

Complaints Management can be a costly and time consuming process, yet managing complaints effectively is an essential part of protecting brand and reputation. Insight brings complaints into a simple electronic process which is integrated with the TC, risk management, case checking modules - an integration that has undeniable logic and benefits.

complaints automation

Insight allows all complaints to be quickly and easily logged. Complaint details include the nature of the complaint, the contact details, business area, status of the complaint, method of receipt and the complaint handler. The complaint is then tracked through the system creating a log of all actions that take place. Documents, activities and notes can be linked to the complaint as it progresses, giving a full audit trail of how the complaint was handled, including outcome and justification.

Customisable forms can be added to complaints to fit the individual processes and needs of an organisation and its internal departments.

Insight carries out automated duplicate checking to prevent over-reporting of complaints and reduce the risk of paying out for a complaint more than once. In addition, it caters for the recording of information relating to the payment of compensation, claims made in relation to Personal Indemnity insurers, as well as a process for specifically handling referrals to the Financial Ombudsman Service.

Configurable workflow can be used to generate tasks in the system, producing reminders as and when certain activities are either due or completed. Complaints are also tracked against dates to ensure that regulatory standards and service level agreements are met - saving time and ensuring consistency of approach.

a product from



Internal notes can also be recorded against complaints for QA purposes to ensure that complaint handling processes are being accurately and effectively followed. Once resolved, the complaint and details of the resolution are held as an ongoing reference point.

management information

Insight can generate management information on the complaints data to provide:

- Age Analysis by handling status
- Complaints Raised/Upheld by Adviser - including Total Redress Paid and Total Potential Liability
- Ratio of complaints referred to FOS and Overturned/Upheld

Insight also automates the creation of the regulatory Complaints reporting required by the FSA:

- **Annex 1R Report** - Twice a year a firm must provide the FSA with a complete report concerning complaints received from eligible complainants
- **Annex 1 B Report** - Where, in accordance with DISP Annex 1R, a firm submits a report to the FSA reporting 500 or more complaints, it must publish a summary of the complaints data contained in that report

Insight provides comprehensive methods for reviewing the Complaints that have been included in the FSA reports, enabling quick and easy problem identification and correction.

insight integration

Details of a complaint may be integrated with Insight's risk management module by creating automatic feeds of relevant KPIs to support the allocation of a risk grade to an adviser. Complaints can also be linked to cases in the Insight Case Checking module to aid the investigation process.

benefits

Insights Complaints modules helps organisations to:

- Keep track of all complaints
- Ensure complaints are dealt with quickly and effectively, avoiding regulatory breach and minimising brand damage
- Demonstrate to the FSA a compliant credible complaints handling process, providing the relevant data quickly and efficiently
- Reduce and manage the costs of the complaints handling process.