

Date: 30 April 2021

Our Ref: FOI8152

Dear

Freedom of Information: Right to know request

Thank you for your request of 17 March 2021, for information relating to complaints data supplied under reference FOI7927. We apologise for the delay in responding to you.

Your request has been processed in line with the provisions of the Freedom of Information Act 2000 (FOIA) and we will address each point in turn.

"Complaints data for year 2020 as supplied in FOI7927 has added three new classifications of complaint: Staff conduct – bias/bad faith; Staff conduct – inappropriate; Staff conduct – communication. Number of complaints in each category is 1,1,2.

- 1) *Have these complaints been resolved? If yes, what was the outcome? (i.e. what action was taken against the FCA employee in each case)*

The numbers above (i.e. 1,1,2) refer to 3 complaints – made up of 4 allegations (one of the complaints had 2 allegations).

Two of the three complaints have been closed as 'out of scope' of the complaints scheme. This is because complaints made against employees would, in most cases, be for HR to deal with rather than under the Complaints Scheme.

The third complaint hasn't yet been finalised, but it is also currently considered to be outside the scope of the Complaints Scheme.

On a general note, please be aware that changes have been made to our complaints categorisations from January 2021 so data provided in future will not be presented in the same format as in previous years.

- 2) *What level within the FCA was the staff member/s concerned?*

The allegations were made against teams rather than individual FCA employees.

I would also like a copy of the FCA policy for handling and processing such external complaints made against staff and to know if this differs from internally raised complaints against FCA staff for conduct violations."

External complaints made against staff are considered under the Complaints Scheme in the same way as all other complaints. More details can be found on our website [here](#).

Internal 'complaints' against FCA staff are considered by HR under the Grievance Procedure rather than under the Complaints Scheme. More details on the FCA's Grievance Procedure can be found in the [FCA Employee Handbook](#).

Your right to complain under FOIA

If you are unhappy with this response, you have the right to request an internal review. To do so, please contact us within 40 working days of the date of this response at FreedomofInformationAppeals@fca.org.uk.

If you are not content with the outcome of the internal review, you also have a right of appeal to the Information Commissioner by phone or on their website at:

Telephone: 0303 123 1113

Website: www.ico.org.uk

Yours sincerely

Information Disclosure Team
Financial Conduct Authority