

## Addendum to the SRA Annual Report 2018

### Introduction

This is an addendum to the main annual report we have written on the stage 3 complaints we considered for the SRA in the year November 2017 to October 2018. Although we stopped taking new stage 3 complaints on 30 September 2018, we have since that time been completing work in progress. This additional report therefore provides a complete picture of all complaints matters we have reviewed for the SRA detailing the outcomes of the outstanding matters as well as highlighting any lessons learned for completeness.

### Potential outcomes explained

There are two potential outcomes for cases.

- The first potential outcome is that the case was transferred to the new Independent reviewer, the Centre for Dispute Resolution (CEDR), with the complainant's consent. These complaints will be investigated by CEDR and reported upon in its annual report.
- The second potential outcome is that we investigated the case and issued a final report in relation to this matter.

The destination of all complaints and outcomes of our investigations are detailed below.

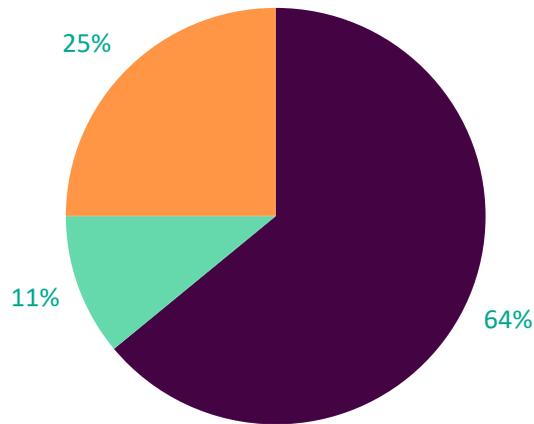
### Cases closed as a result of transferring to CEDR

A total of 10 cases have been closed by Ombudsman Services because they have transferred to CEDR. These will be investigated by CEDR.

### Cases closed resulting from investigation

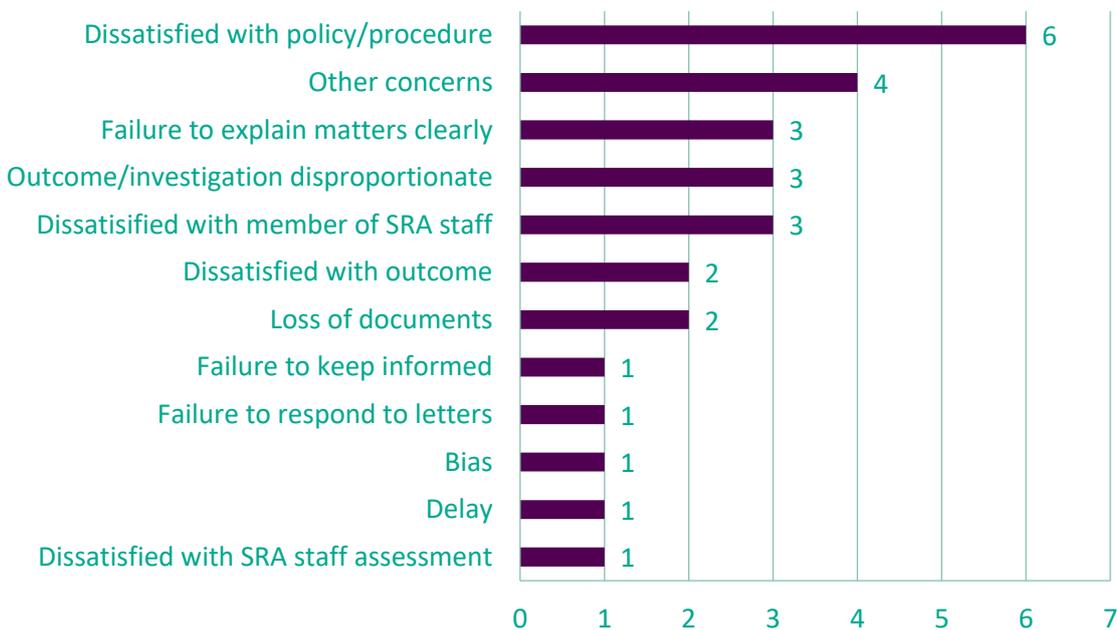
A total of 13 cases have been closed by Ombudsman Services following investigation by us. The outcomes of complaints are as follows:

■ Not upheld ■ Partially upheld ■ Upheld



Except for marginally more upheld complaints in this small data set, the results here are consistent with our 2018 annual report.

The types of complaints that people have asked us to consider are:



Similarly, while there are some differences in prominence between this data and complaint types reported in our 2018 annual report, these differences are minor. Overall, dissatisfaction with SRA policy or procedure and failing to explain matters clearly is the most common issue of complaint that comes to us.

### **Notable or systemic outcomes**

These cases have a range of outcomes.

Most cases resulted in no recommendation for the SRA. This is consistent with the fact that we do not uphold most complaints.

In a handful of cases, we have recommended that the SRA apologise for identified service shortfalls, considers offering or increasing a special payment, or both.

Other cases have required more specific outcomes. These have included:

- A recommendation that the SRA should reimburse expenses incurred resulting from the SRA supplying incorrect information.
- A recommendation that the SRA should consider the way it works with non-regulated individuals who become involved in regulatory action, such as interventions.
- A recommendation that the SRA should consider how it keeps individuals under investigation updated, especially if the investigation is complicated or lengthy.

Given the data set is only small, we identified no systemic issues warranting further commentary.

