



The Insolvency  
Service

## Company Directors Disqualification Act 1986

### Interim Guidance Notes for the use of the Director Conduct Reporting Service

#### 1. Purpose of this guide

This guide is for insolvency practitioners who need to report under section 7A of the Company Directors Disqualification Act 1986 (CDDA) using the Director Conduct Reporting Service (DCRS). The DCRS is a new online reporting tool for all insolvency appointments from 6 April 2016 where a director conduct report is required.

This is an interim guide for IPs and will exist alongside the existing [guidance](#) which will continue to apply to all cases where the insolvency appointment was on or before 5 April 2016.

The existing guidance will be withdrawn later in 2016 and replaced with full guidance on the use of the DCRS.

The purpose of this interim guide is to enable IPs to register and log into the DCRS for the first time and to complete and submit conduct reports on their cases.

The guide will be updated as more functionality is built into the DCRS from April 2016 to include:

- The ability to appoint and administer IP staff who will be able to enter and save information onto the new system.
- Pre-population of some data fields with information from Companies House.

#### 2. Introduction

This guide deals with the 2016 [Rules](#) which came into force on 6 April 2016 and the amended section 7A of the CDDA introduced by the Small Business, Enterprise and Employment Act 2015.

Full guidance will be issued later in 2016 but in the meantime IPs need to note the following changes which apply to appointments from 6 April 2016:

- Office-holders must submit conduct reports to the Secretary of State within 3 months of the appointment date
- The Secretary of State may extend the time available to submit the conduct report on the application of the office-holder.
- If new information comes to the attention of the office-holder, the office-holder must send that information to the Secretary of State as soon as reasonably practical

Office-holders must submit conduct reports, requests for additional time and new information using the DCRS.

### 3. Registration for the DCRS

Access to the DCRS will be via the [Insolvency practitioner tools and information](#) page on GOV.UK.

IPs will need to register for the service using their IP number and the email address held against their entry on the Insolvency Service's [database](#)

Registration will be via this link

## Enter login details

Email address

Password

Log in

[Forgot your password?](#)

[IP registration](#)

IP Registration will require office-holders to enter their IP Number and email address

## IP Registration

### IP Number

4-6 digit unique identifier

### Email address

Continue

Already registered? [Login here](#)

Submission of this information will result in the issue of a temporary password via an email to the address provided at the registration stage, which must match that held on the database.

IPs will need to change their password when they next log onto the DCRS. This must be between 8 and 20 characters in length with at least one upper case letter, one lower case letter, one number and one special character from the following list !£\$%^\*()#~.

Information will be saved as users progress through the DCRS. Users will be automatically logged out of the DCRS after 20 minutes of inactivity.

## 4. The Dashboard

When an office-holder has logged onto the DCRS, they will be taken to a dashboard which will display all their cases where a report has yet to be submitted. An example of the dashboard is shown below:

All cases (10)   In progress (3)   Awaiting review (2)   Not started (5)

## The baguette house ltd.

Reg. 01112993 • Joe Blogg

Due in 1 day

**In progress**

## Parnell Aerospace

Reg. 02929222 • Paul Reed

Due by 8-02-2016

**Not started**

## School of Fine Art

Reg. 01112993 • Paul Reed

Due by 17-02-2016

**In progress**

## Lucerne Publishing

Reg. 0837363 • Paul Reed

Due by 19-04-2016

**Not started**

## The Phone Company

Reg. 07723663 • Paul Reed

Due by 21-04-2016

**Not started**

The dashboard will only display cases where the appointment date was on or after 6 April 2016. It will not be possible for users to create a case if it does not feature on the dashboard.

The DCRS is reliant for case data on the notices which IPs publish in the London and Edinburgh Gazettes, and because of this it will take at least 2 business days from the notice of the insolvency appointment appearing in the Gazette to the case appearing on the dashboard.

For compulsory winding up cases in Scotland, if a decision is taken not to publish the appointment in the Edinburgh Gazette, the office-holder will need to contact the Insolvency Service (see below), so that the case can be added to the system.

For cases where there are 2 or more office-holders, each will be able to view the case on their own dashboard and also complete and submit the conduct report if they wish. Underneath the case name, the dashboard will display the office-holder whose name appeared first in the Gazette notice.

N.B. Only an office-holder will be able to submit a case via DCRS. IP staff will be able to enter and save information.

As displayed in the image above, the dashboard has a case search facility and also the ability to sort cases as follows:

- All Cases
- In Progress – These are cases where work has started on the conduct report but it has not yet been completed to the stage where it is ready for submission
- Awaiting Review – These are cases where the conduct report has been completed and is awaiting a final review before submission.
- Not started

When a case has been submitted it will move from the dashboard to the “Submitted Cases” area, which is accessed via the link within the black header at the top of every page.

## 5. Completion of the Conduct Report

The conduct report part of the DCRS has been developed after a comprehensive (and ongoing) programme of user research with IPs and their staff and the pages are designed to be as intuitive and straightforward as possible. At this stage, we are not proposing to issue detailed guidance relating to the conduct questions. We are though intending to refine and develop the DCRS in response to an ongoing programme of user research and using feedback received during the first few weeks and months that the service is live. Every page of the service contains a feedback link (see below).



## 6. Contacting the Insolvency Service

At the foot of every page are links to report issues with a particular page and also a contact us link.

[Is there anything wrong with this page?](#)



The use of both of these links will generate messages to the Insolvency Service however the “is there anything wrong with this page” link should only be used to report something wrong, such as a strange message or other issue on that particular page.

The “contact” link in the grey footer should be used to request additional time to submit a case, report new information after the submission of a report, or report other issues, such as cases missing from the dashboard or other dashboard errors.

Future versions of the DCRS will permit applications for additional time and new information to be submitted from a case specific area of the service without the need to include a case name or reference.

## **7. What happens after a Report has been submitted?**

The information provided in the conduct report will be subject to analysis by a Rules Engine. This Rules Engine will carry out an initial sift of cases to identify those where there are sufficient indications of possible misconduct to require review by a member of staff from the Insolvent Targeting Team. It is at this stage, if necessary, that further information will be requested from the office-holder’s firm to assist with deciding whether to target the case for further investigation.

The Rules Engine sift will run overnight and those users of the DCRS attached to a case will be notified of the outcome.

## **8. What communications will I receive?**

The DCRS will generate the following emails:

- Welcome on Registration and issue of temporary password
- Acknowledgment of receipt of conduct report
- Submission reminder before expiry of 3 month deadline
- Submission reminder for overdue case
- Notification of Rules Engine output
- Acknowledgment of new information
- Acknowledgment of application for additional time to submit report
- Acknowledgment of any other question from “contact” link

### **9. Requests to extend the 3 month reporting period**

Director conduct reports are required to be submitted within 3 months and office-holders should submit reports based on the information available to them at the time.

If new information subsequently comes to light then IPs can use the DCRS to notify us. This new information will then be reviewed by a member of staff in the Insolvent Targeting Team.

It is appreciated that there may be non-case related reasons why a report cannot be submitted within 3 months and IPs will be able to use the DCRS to apply for an extension of time. IPs will need to set out the reasons why additional time is required. The DCRS will acknowledge receipt of the application and a decision will then be made and notified to the IP as soon as reasonably practicable.

### **10. Submission of New Information**

New information which would have been included in the conduct report if it had been available at the time of submission must be notified as soon as reasonably practicable via the DCRS.

To assist with this process, director conduct reports - once submitted - will be accessible on the DCRS. This will allow office-holders to review previously submitted information. [Office-holders will also be able at the time of submission to save a copy of the conduct report for their own records and will also be able to produce a pre-submission version to assist with internal review processes.]