



Solicitors
Regulation
Authority



How to complain about us – our complaints policy



This is an easy read version of
complaints about our service – our policy

What this is about

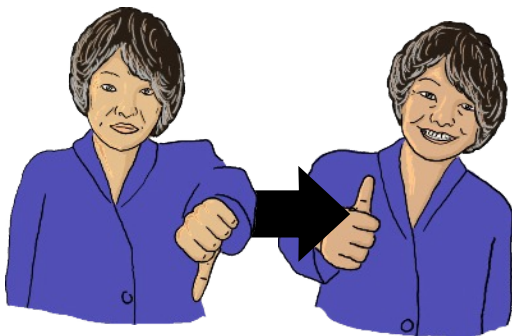


We are the Solicitors Regulation Authority.

We want to give you a good service.



If you think we have not given you a good service, then you can complain to us.



We will try and sort things out.



This is our complaints policy. It covers service complaints about us from 1 April 2025.

How to make a complaint



Sorting complaints out easily

You can tell the person who is dealing with your issue what your complaint is about.



If they cannot help, you can make a formal complaint.

How to make a formal complaint

To make a formal complaint you can:

- fill in our complaints form
www.sra.org.uk/sra/complaints-service/make-a-complaint/





- write to us



- email us



- speak to the person who is dealing with you or their manager.



What we need from you

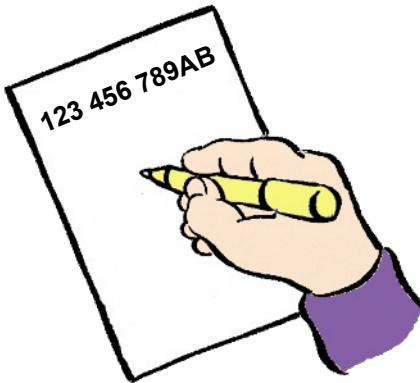
- your name



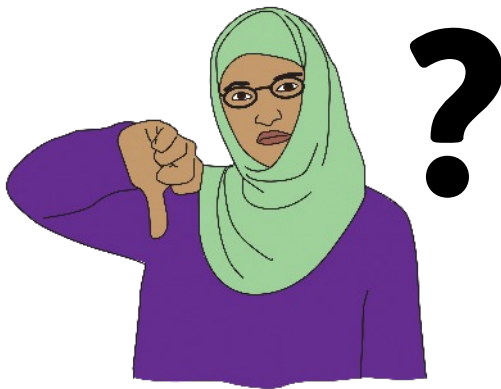
- your address



- your email



- any reference number we have given you



- what you think we have done wrong



- what you think we should do to put things right.



How long you have to make a complaint

Please make your complaint as soon as you can.



We can look at complaints if you tell us about them within 6 months of the problem happening.



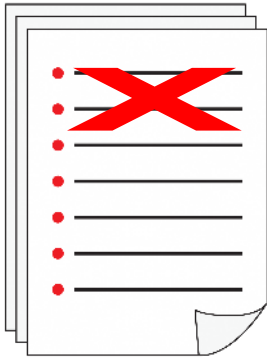
We can only look at complaints after 6 months if there is a good reason.

What complaints are covered by this policy



You can complain about our staff or anyone we have asked to work for us.

Complaints can be about the service we have given you or something we did not do. This could be:



- making mistakes or not being careful



- taking too long



- not acting professionally



- treating people unfairly.

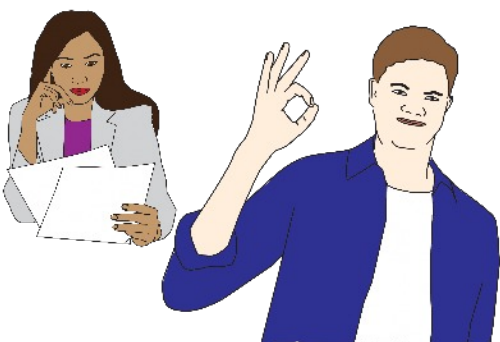
What complaints are not covered by this policy



Some complaints are better dealt with separately from this policy. If we cannot look at your complaint under this complaints policy, we will tell you how we can help instead.



We cannot look at complaints about the Independent Reviewer of Complaints or Kaplan SQE Limited. Please send your complaint directly to them.



Matters you are not part of

We will not look into complaints that you are not part of unless the person involved says it is okay.



Legal claims against us

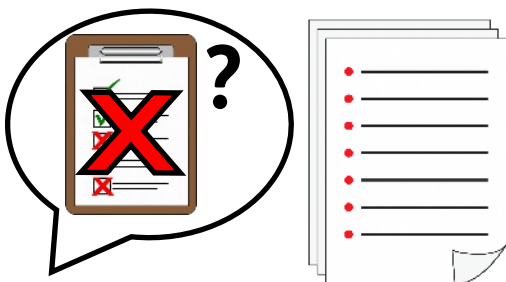
If you start a legal claim or send letters saying you will, our legal team will reply separately from this policy.

Regulatory decisions



If you think our **regulatory decision** about a person or firm who we regulate is wrong, speak to the team you have been dealing with.

A **regulatory decision** is a decision we have made about the rules solicitors and law firms must follow.



Tell the team why you think the decision is wrong or if you have new information.

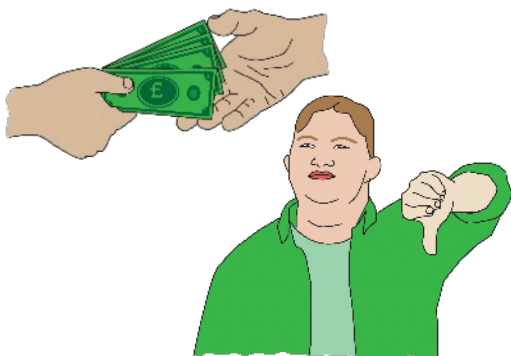


The team will tell you if the decision can be **reviewed**. Reviews are not part of our complaints policy.

Review means looking back to check if we made the right regulatory decision.

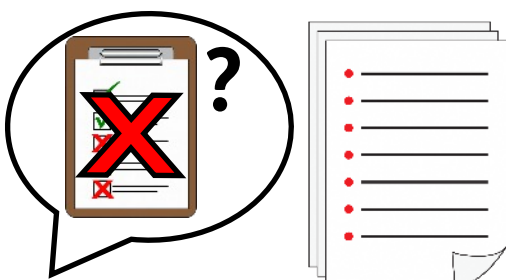


The team cannot look at regulatory decisions if they are more than one year old, unless there is a really good reason to.

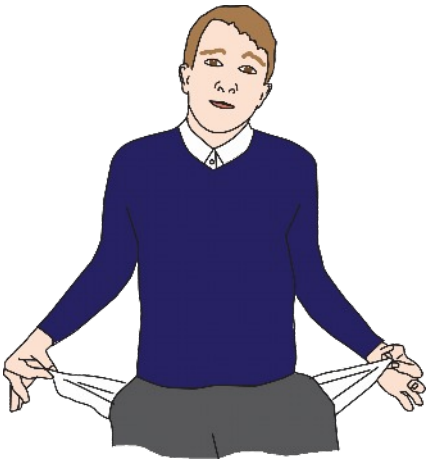


Compensation fund decisions

If you do not agree with our decision about a claim to our **compensation fund**, speak to the team you have been dealing with.



Tell the team why you think the decision is wrong or if you have new information.



The **compensation fund** is for people who have lost money because it has been stolen or not accounted for by a person or firm we regulate.

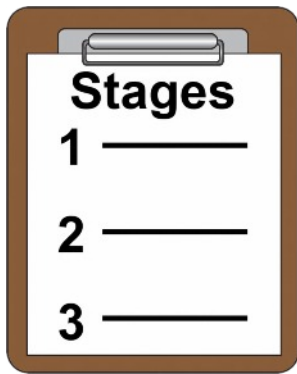


There are rules which help us decide who can claim money from the compensation fund.



The team will tell you if the decision can be reviewed. Reviews are not part of our complaints policy.

Who will deal with your complaint



There are three stages to our complaints policy.



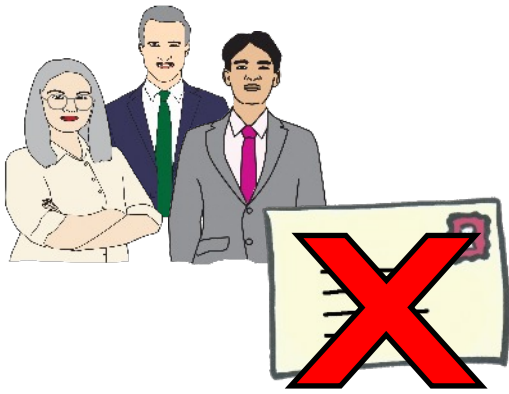
Stage 1 complaints are managed by the team you have been dealing with.



Stage 2 complaints are managed by the Corporate Complaints Team.



Stage 3 complaints are managed by the Independent Reviewer of Complaints who does not work for us.



Senior staff and members of the Board of the Solicitors Regulation Authority will not be able to reply to any complaints themselves.



If you send your complaint to them, they send it to our Corporate Complaints Team. The team will decide if a response is needed.



Most of our complaints go to stage 1 first.

Complaints which start at stage 2



There are some complaints which we will usually start at stage 2:

- if your complaint is about the work of more than one of our teams



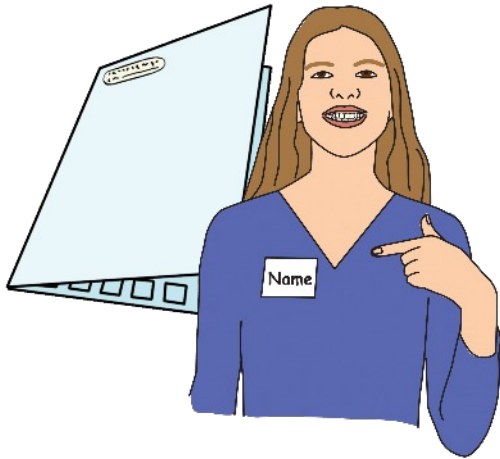
- if we think your complaint may get a lot of attention



- if the complaint could really affect us or you



- if the complaint would be difficult to deal with at stage 1, because you do not get on with the team you were dealing with



- if our Information Governance and Compliance Team have looked at your request for personal information we hold about you, or other information under our Transparency Code.

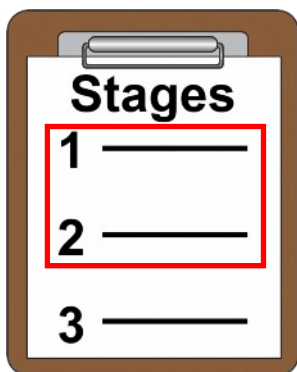


We can only respond to complaints about the service provided by that team, but we cannot change their decision.



The Corporate Complaints Team will tell you if your complaint should start at stage 2.

Stages 1 and 2 of our complaints process

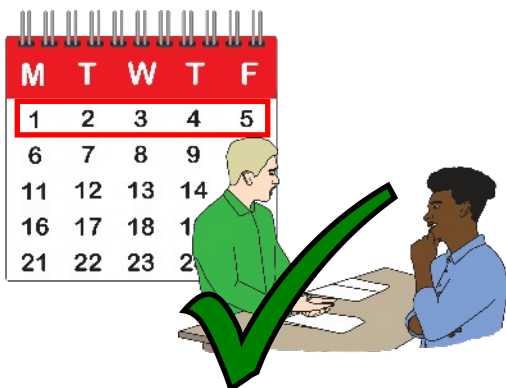


Stages 1 and 2 of the process are dealt with by us.



Stage 1

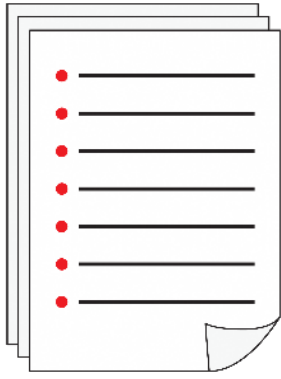
The team you have been dealing with will manage your complaint at stage 1.



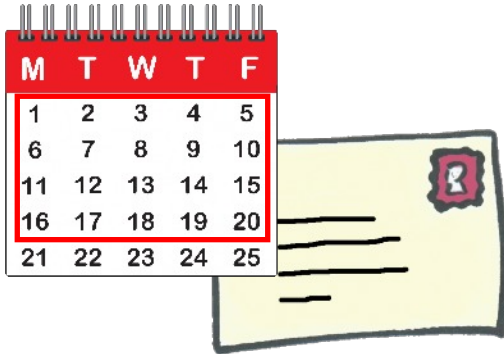
We will tell you that we have your complaint within 5 working days.



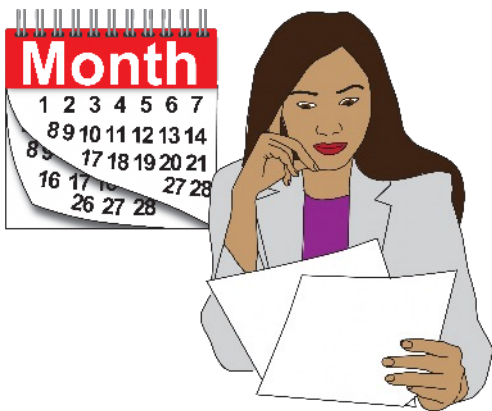
We may be able to sort things out quickly by phone.



We may need more information.



We will reply to your complaint within 20 working days from when we got your complaint.



If we need more time to look at your complaint we will tell you.



If you are not happy with the result you can put in a stage 2 complaint.



Stage 2

The Corporate Complaints Team manages stage 2 complaints.



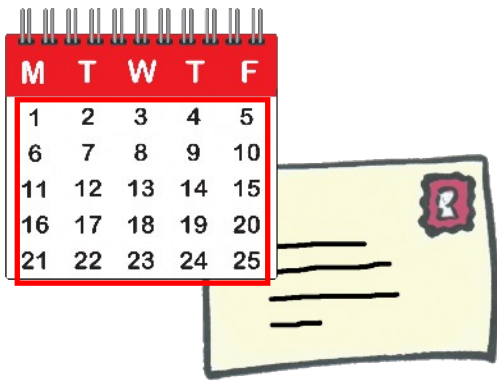
The Corporate Complaints Team will look again at the complaint you made at stage 1.



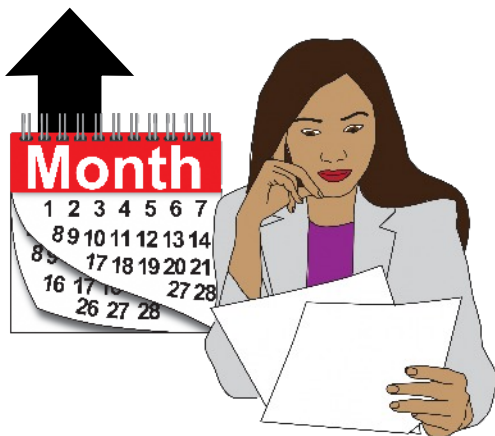
We will tell you that we have your stage 2 complaint within 5 working days.



If you tell us something new, we will first ask the team who dealt with your stage 1 complaint to see if they can sort things out.



We will reply to your stage 2 complaint within 25 working days from when we got it.

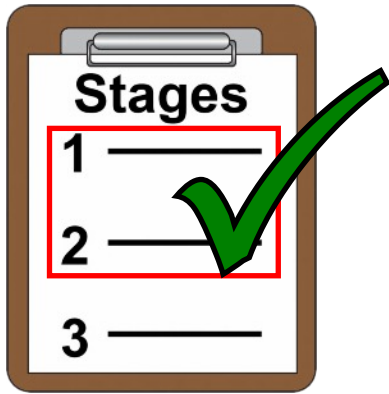


If we need more time to look at your complaint we will tell you.



If you are not happy with the result you can put in a stage 3 complaint.

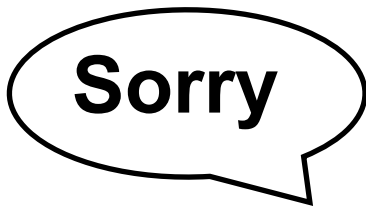
What can we do if we agree with your complaint



We hope we can sort out your complaint at stage 1 or stage 2. If we agree with all of your complaint or some of it we can:



- explain what happened and why



- say sorry for the poor service you had



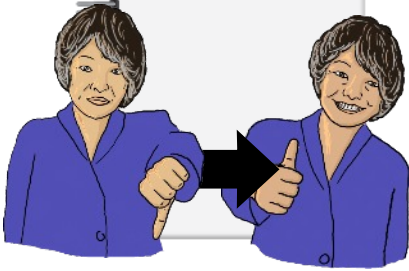
- work out a plan that would make things better for you



- ask one of our teams to look at information you have given us



Plan



- work out plans to make our service better in the future.



We do not give money to say sorry for a poor service.

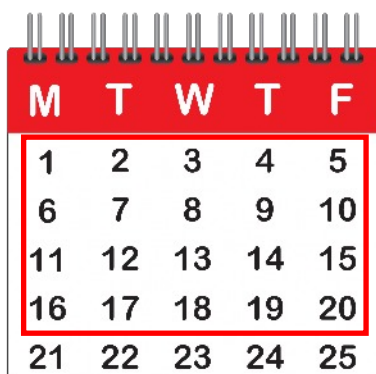
Stage 3 of our complaints process



Stage 3 complaints are managed by the Independent Reviewer of Complaints.



The Independent Reviewer does not work for us. They make up their own mind.



M	T	W	T	F
1	2	3	4	5
6	7	8	9	10
11	12	13	14	15
16	17	18	19	20
21	22	23	24	25

If you want the Independent Reviewer to look at your complaint, you must let them know within 20 working days of getting your stage 2 result.



You can get in touch with the Independent Reviewer:

By email:

Complaintsreview@cedr.com



By post:

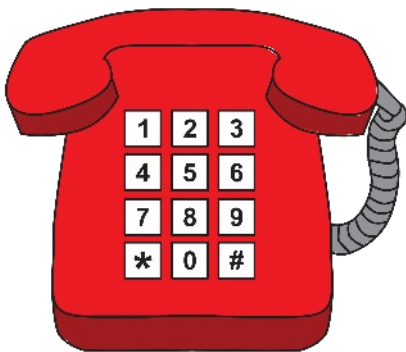
Centre for Effective Dispute Resolution (CEDR)

100 St Paul's Churchyard

London

EC4M 8BU

UK



By telephone:

020 7536 6000



Ask us if you want us to get in touch with the Independent Reviewer for you.

The Independent Reviewer can say no to looking at your complaint



This could be because:

- the complaint is too late



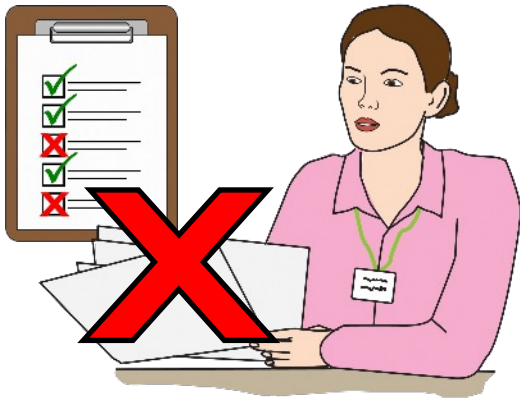
- it is not a complaint they can look at



- they think we can both try again to sort things out

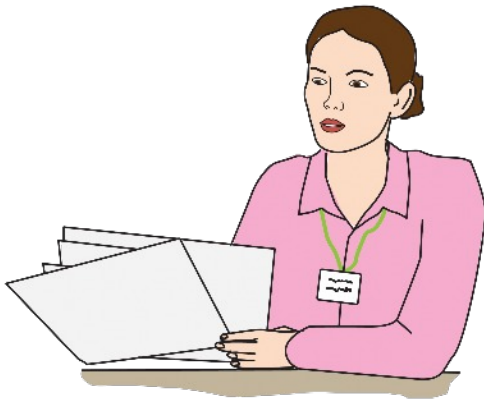


- looking at the complaint again would not be of use.



The Independent Reviewer cannot look at or change our regulatory decisions.

How will the Independent Reviewer deal with your complaint

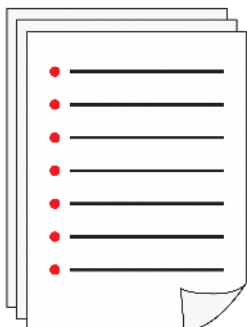


If the Independent Reviewer agrees to look at your complaint, they will see how we dealt with your complaint at stages 1 and 2.



They will look at:

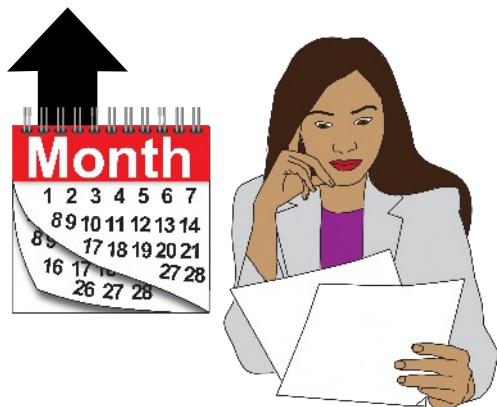
- if we dealt with your complaint fairly and carefully



- if we looked at all the important facts about your complaint



- if the reasons we gave for our decisions were explained

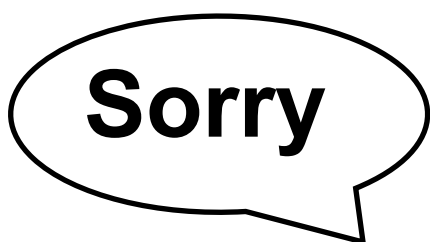


- if we took too much time to look at your complaint.

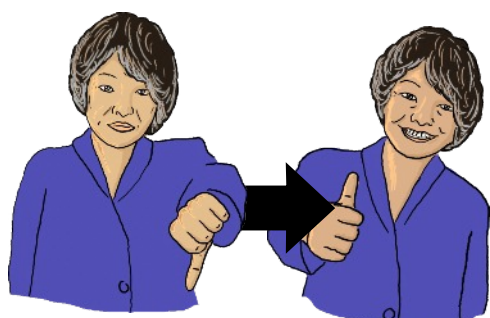
The Independent Reviewer will write to you and tell you the result. It could be:



- we did not do anything wrong



- to ask us to say sorry to you because we did something wrong



- to ask us to sort out the poor service you had



- to ask us to make sure our service is better in the future.



The Independent Reviewer's decision is the final decision

If the Independent Reviewer does not find anything wrong, the complaint is closed.



If the Independent Reviewer asks us to sort out the poor service you had, we must tell you if we agree and what we plan to do. We must do this within 20 working days.

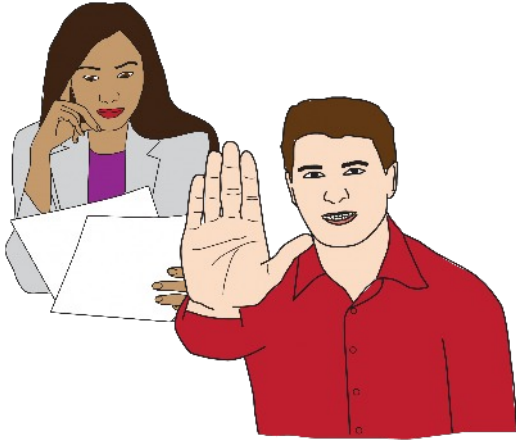


If we do not agree with the Independent Reviewer we will tell you why.



We cannot look at complaints about the Independent Reviewer.

More information about how we deal with complaints



Sometimes we have to wait before looking at a complaint

We may have to wait before we can look at your complaint.



This is unusual. It might be because we have to look at other problems first.



We will tell you why we are waiting.



If you do not want us to wait, you can contact the Independent Reviewer. They will decide if we are right to wait.



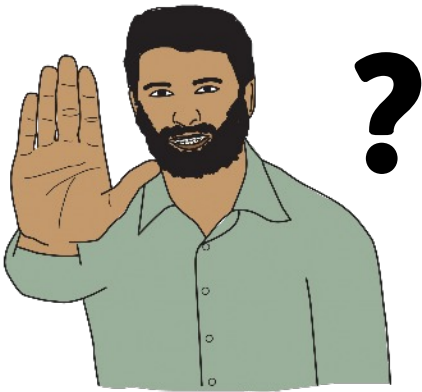
We will usually carry on with our regulatory work

Usually, we will carry on with our work while we look at your complaint.



Tell us if you want us to stop our work. We will think about:

- what your complaint is about



- why you want us to stop



- what will happen to you if we do not stop



- if the result of your complaint might affect our work

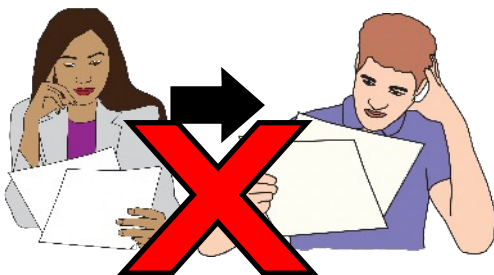


- if carrying on our work is better for everyone.

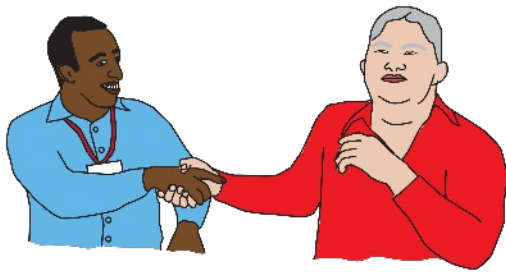


We will write to you with our answer.

If you are not happy with the staff member working on your regulatory case

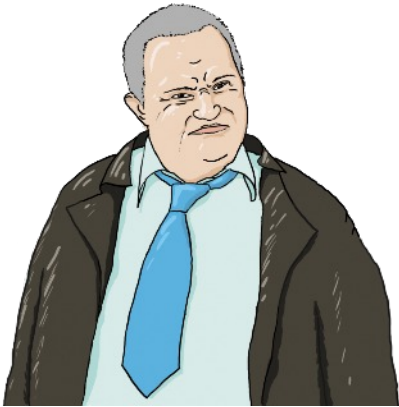


We do not think changing staff is needed to do our regulatory work well. We will not change the staff working on your case just because you ask us to.



If you are not being fair with us

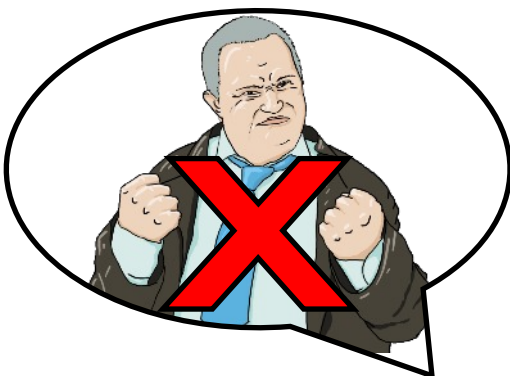
Most people are fair with us.



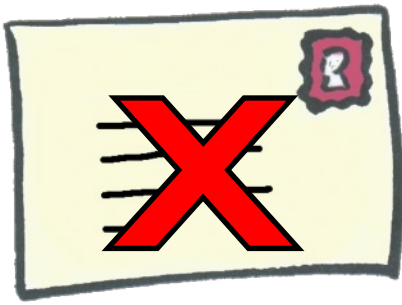
We know that people get upset when things go wrong.



This is okay, but we ask you to be polite with us and we will be polite with you.



We will tell you if we think you are being unfair and ask you to stop. If you are still unfair, we may decide not to reply to you.



We will not reply if we told you before we are not able to help you.



Learning from complaints

All our staff can learn from complaints and help to make our service better for everyone.



We keep records of each complaint, what the complaint was about and what we have learned from it.



Every year we write a report about the sort of complaints we had and what we will do to make things better.



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making Easy Read information.