

FIRST TIER COMPLAINTS HANDLING GUIDANCE

1. This guidance applies to all CILEx members, CILEx Practitioners and CILEx Authorised Entities. If you are a member working in a firm regulated by another regulator, you will need to comply with that regulator's appropriate guidance.
2. Principle 5 of the CILEx Code of Conduct requires individuals regulated by CILEx Regulation to inform clients fully and honestly about their complaints procedures. This includes the client's right to refer a complaint to the Legal Ombudsman or CILEx Regulation where appropriate.
3. This guidance is set out in three parts:
 - Section 1 contains tables setting out the different organisations that you need to signpost clients to within your complaints handling procedures.
 - Section 2 explains how you can comply with your requirement to inform your clients of their right to refer a complaint to the Legal Ombudsman or CILEx Regulation where appropriate.
 - Section 3 sets out your obligation to signpost a client to an Alternative Dispute Resolution (ADR) Body including Online Dispute Resolution.
4. You must take all practicable steps to achieve the following **complaints handling outcomes**. You must make sure that:
 - complaints handling procedures are fair, transparent and provide effective safeguards for clients;
 - complaints are dealt with comprehensively and swiftly; and
 - appropriate redress is provided where necessary.
5. Even if you do not have direct responsibility for complaints handling policy or procedures within your firm or workplace, you are expected to understand and seek to comply with this guidance where appropriate.
6. In addition to notifying clients of their complaint handling rights in writing, we recommend that you consider additional ways that you can communicate this information to consumers. For example, through website content, mobile apps, and other types of business communications.

7. For the purpose of this guidance a complaint is an oral or written expression of dissatisfaction which alleges that the complainant has suffered (or may suffer) financial loss, distress, inconvenience or other detriment.

8. We recommend that CILEx Authorised Entities and firms operated by CILEx Fellows maintain records of all complaints received and outcomes achieved. These records should be reviewed regularly with the aim of improving the delivery of **complaints handling outcomes**. We will expect our CILEx Authorised Entities to be able to demonstrate that they are delivering the **complaints handling outcomes**.

Section 1

Organisations to signpost to:

	Complaints about service signpost to:	Complaints about conduct signpost to:
CILEx members working in a firm <u>regulated by</u> <u>another regulator</u>	Legal Ombudsman	CILEx Regulation
CILEx Fellows working in their own non- regulated firm	Legal Ombudsman	CILEx Regulation
CILEx members working in their own non- regulated firm	CILEx Regulation	CILEx Regulation
CILEx Authorised Entity	Legal Ombudsman	CILEx Regulation

	Alternative Dispute Resolution (ADR) – for all firms	Alternative Dispute Resolution (ADR) – online trader
CILEx members working in a firm <u>regulated by</u> <u>another regulator</u>	Comply with your employer's guidance on signposting consumers to an approved Alternative Dispute Resolution body.	Comply with your employer's guidance on signposting consumers to the Online Dispute Resolution platform
CILEx Fellows working in their own non- regulated firm	You must signpost consumers to an approved Alternative Dispute Resolution body, although there is no obligation on you to use the approved ADR.	You must signpost consumers to the Online Dispute Resolution platform, if applicable to your firm.
CILEx members working in their own non- regulated firm		
CILEx Authorised Entity		

Section 2

Complaints to the Legal Ombudsman or CILEx Regulation

9. You must provide information about the Legal Ombudsman service to your clients at the time of engagement, or at the next appropriate opportunity, whether or not a complaint has been made to you or is in prospect. This is a requirement of the [Legal Services Board](#).
10. Clients should be given information about your complaints handling procedure when client care letters are sent or at the point where instructions are accepted.
11. Clear information should be given to clients at this time about:
 - their right to complain;
 - how to make a complaint;
 - who to make a complaint to; and
 - their right to complain to the Legal Ombudsman (or to CILEx Regulation for members working in their own non-regulated firm) if any complaint regarding the service provided is not resolved to their satisfaction.
12. The information provided must include the role of the Legal Ombudsman service, contact details and timescales for making a complaint to the Legal Ombudsman.
13. For members working in their own non-regulated firms, the information provided must include the role of CILEx Regulation as their regulator, contact details and timescales for making a complaint to CILEx Regulation.
14. The process for clients to make a complaint to you must:
 - be clear, convenient and easy to use for all clients, in particular for those that are vulnerable or have disabilities;
 - be well publicised;
 - be free of charge; and
 - make provision for complaints to be made by any reasonable means.
15. Your process should be fair, with decisions about complaints based on sufficient investigation of the circumstances. Where appropriate, there should be an offer of a suitable remedy.
16. Complaints should be dealt with promptly and, as far as possible, within the time limit which applies to the making of a complaint to the Legal Ombudsman (currently 8 weeks). At the end of any complaints process clients must be

informed of: their right to complain to the Legal Ombudsman; contact details of the Legal Ombudsman; how to make such a complaint; and the timescale for doing so.

17. The timescales for complaining to the Legal Ombudsman are currently: within six years from the date of act/omission, or three years from when the complainant should have known about the complaint; and within six months of the complainant receiving a final response to their complaint from you or your firm.
18. If you have personal responsibility for client matters and your employer has not made arrangements to comply with this guidance (or guidance or rules issued by another legal services regulator such as the SRA or the CLC) you should inform your clients of your employer's complaints handling procedures and make sure they receive the necessary information about the Legal Ombudsman service.
19. If you are regulated by CILEx Regulation, you should include in client care letters and concluding correspondence statements that, as your regulator, CILEx Regulation:
 - may seek access to the client's papers and that, in these circumstances, you will grant CILEx Regulation access unless the client objects; and
 - has a consumer feedback programme and that the client's comments are welcomed. The statement must advise the client of the online programme and the alternative arrangements for participation for those without online access.
20. If you are a CILEx member, but not a Chartered Legal Executive or CILEx Practitioner, and you are running your own unregulated business, then you should advise clients that they have the right to bring any service related complaints to CILEx Regulation. Complaints must be made within 12 months of the event that gave rise to the complaint or within 12 months of the complainant having knowledge of the events, whichever is the greater.
21. If a complaint is made by one of your clients or your employer's clients, a full record of the way the complaint is handled should be kept separate from the main client file. A log of all complaints made by clients should also be kept.
22. If a complaint is made to the Legal Ombudsman or CILEx Regulation by one of your clients or your employer's clients, you must cooperate with the Ombudsman and CILEx Regulation and assist them to deal with the complaint. This is a requirement of Principle 4 of the CILEx Code of Conduct.

Section 3

Alternative Dispute Resolution

23. This section is about your obligation to inform clients about Alternative Dispute Resolution (ADR). It is in addition to your obligation to inform clients of their right to refer a complaint to the Legal Ombudsman or CILEx Regulation where appropriate.
24. You are required by the Alternative Dispute Resolution for Consumer Disputes (Amendment) Regulations 2015 to signpost consumers to an approved Alternative Dispute Resolution body, although there is no obligation on you to use the approved ADR.
25. We suggest that clients should be given information about ADR when client care letters are sent or at the point where instructions are accepted. Clear information should be given to clients about your chosen ADR body irrespective of whether you intend to use them if a service complaint is not resolved to their satisfaction.
26. At the end of any complaints process clients must be informed of the details of an ADR body, whether you intend to use that ADR body, how to make contact with the ADR body and the timescale for doing so.
27. If you have personal responsibility for client matters and your employer has not made arrangements to comply with this guidance (or guidance or rules issued by another legal services regulator such as the SRA or the CLC) you should inform your clients of your employer's complaints handling procedures and make sure they receive the necessary information about the ADR service.
28. You must inform the client:
- of the name and website address of an ADR approved body, which would be competent to deal with the complaint, should both parties wish to use the scheme; and
 - whether you intend to use that ADR approved body.
29. The Chartered Trading Standards Institute (CTSI) has approved a number of ADR bodies who are able to provide ADR services. You should check the list of approved ADR bodies on the CTSI website, to identify the most appropriate provider for you. This list may change as new approved providers are added.
30. Failure to put forward an ADR option to consumers is a breach of the ADR regulations. Compliance with your legal obligations is a requirement of Principle 4 of the CILEx Code of Conduct.

Alternative Dispute Resolution – Online Dispute Resolution

31. There are additional requirements for those businesses providing online services relating to information that you must provide on your website. The requirements stem from the EU Regulation on Consumer Online Dispute Resolution (ODR).
32. These regulations may apply to your firm or entity, even if you would not ordinarily consider yourself to be an online trader. The Department for Business, Energy and Industrial Strategy has confirmed that this is likely to include legal practitioners who send and receive contracts, customer-care information, etc to clients via email. Please note that these requirements do not apply to firms where a face to face interview is first conducted and contracts and customer-care information is then sent to clients via email.
33. The Online Dispute Resolution platform is a web-based platform developed by the European Commission. It allows consumers to submit their disputes online in any of the 23 official languages of the European Union.
34. This will allow consumers who have a complaint about a product or service bought online to submit the complaint to a trader based in another EU member state.
35. Businesses that commit or are obliged to use ODR are required to provide a link (i.e. <http://ec.europa.eu/odr>) from their website to the ODR platform.