

Annex One: Our proposed rule amendments

(This amendment is proposed as a replacement for the existing regulations 8.2-8.5 of our [Code of Conduct for Solicitors, RELs and RFLs](#). It will also apply to firms under section 7.1 (c) of our Code of Conduct for Firms)

Code of Conduct for Solicitors, RELs and RFLs proposed wording changes

8.2-8.5: Complaints handling

8.2 You ensure that, as appropriate in the circumstances, you either establish and maintain, or participate in, a procedure for handling complaints in relation to the legal services you provide.

8.3 You ensure that [clients](#) are informed in writing: at the time of engagement; [on conclusion of their legal matter; upon request and if a complaint is made during a matter about:](#)

- a) their right to complain to you about your services and your charges;
- b) how a complaint can be made and to whom; and
- c) any right they have to make a complaint to the [Legal Ombudsman](#) and when they can make any such complaint.

8.4 You ensure that when [clients](#) have made a complaint to you, if this has not been resolved to the [client's](#) satisfaction within 8 weeks following the making of a complaint they are informed, in writing:

- a) of any right they have to complain to the [Legal Ombudsman](#), the time frame for doing so and full details of how to contact the [Legal Ombudsman](#); and
- b) if a complaint has been brought and your complaints procedure has been exhausted:
 - i. that you cannot settle the complaint;
 - ii. of the name and website address of an alternative dispute resolution (ADR) approved body which would be competent to deal with the complaint; and
 - iii. whether you agree to use the scheme operated by that body.

8.5 You ensure that complaints are dealt with promptly, fairly, and free of charge.

Transparency Rules proposed wording changes

(This amendment is proposed as a replacement for the existing rule 2 of the [Transparency Rules](#))

Rule 2: Complaints information

2.1 An [authorised body](#), or an individual practising in the circumstances set out in regulation 10.2(b)(i) to (vii) of the SRA Authorisation of Individuals Regulations, must publish on its website details of its complaints handling procedure including, details about how and when a complaint can be made to the [Legal Ombudsman](#) and to the [SRA](#).

[2.2 Complaints information published under this rule must be clear and accessible and in a prominent place on your website.](#)