



Complaints Policy

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1. Background and Purpose

a. Background

Law Together LLP ('LT') recognises that there will from time to time be errors or omissions that give rise to untoward outcomes, client dissatisfaction and complaints.

As such a proper investigation and response to the same is not only required by the SRA Code of Conduct but is an opportunity to improve our internal processes, standards and the service we provide to our clients.

We encourage an 'open door' policy and a 'no blame culture' to encourage staff to report matters at an early stage to their manager, Partner or the Compliance Officer (as appropriate)

b. Purpose

To ensure that we meet our obligations to properly and promptly investigate complaints, provide a substantive response to the complainant and collect and analyse data to manage staff, mitigate risk and make such reports as are required to our regulators and other bodies.

This Policy is intended to ensure that the policy objectives and Procedure are given effect throughout the Company.

c. Definitions

LT defines a complaint as 'any expression of dissatisfaction, whether oral or written, and whether justified or not, from or on behalf of an eligible complainant about the firm's provision of, or failure to provide, legal services'.

2. Scope and Applicability

These arrangements cover all employees, both permanent and temporary; including those seconded to LT, contractors and relevant third parties working for, and/or providing services to, LT.

Whilst this Policy refers to LT, it is important to note that the Policy also extends to all services provided to, or activities performed on behalf of LT.

3. Information Sharing

When a complaint has been made whilst maintaining compliance with the Data Protection Act 2018, LT may need to share information with other entities. This may include, but not be restricted to:

- Solicitors Regulation Authority,
- Information Commissioner's Office
- Representative and Awarding Bodies, for example The Law Society
- Insurers

4. Investigation

The complaint will be investigated by the Compliance Officer, although certain aspects may, when necessary, be delegated to Team Managers or Partners.

The investigation will address the matters raised by the complainant and any matters not raised by the complainant but which are within the proper scope of the investigation.

The investigation will be proportionate to the issues raised and or considered and include, reviewing the file electronically, reviewing the paper file, obtaining call recordings, speaking to the fee earner both formally and informally.

Responses will be evidence based and the relevant evidence will be disclosed with the response unless it is unreasonable to do so.

If the complaint is accepted in full or in part we will (the below is not exhaustive or to be read disjunctively)

- (a) Apologise,
- (b) Take remedial steps,
- (c) Reduce our fees,
- (d) Make an offer of compensation in line with the recommendations / case studies published by the Office of the Legal Ombudsman.

Where the complaint is rejected we will signpost the client to the Legal Ombudsman.

Investigations shall, unless there are exceptional circumstances, be completed and a final response sent to the complainant in 56 days. Where this cannot occur the complainant must be kept updated as to the progress of the investigation.

Where necessary the conclusion of the report will be referred to the HR department for consideration of performance management / disciplinary proceedings.

If necessary we will also report the matter externally i.e. to our insurers and or the SRA or other regulator.

5. Responsibilities

a. The Board

The Board has ultimate responsibility for ensuring that this Policy accurately reflects LT's requirements, and that full adherence is achieved.

b. Compliance Officer

The Compliance Officer will provide appropriate input to the training programme initiated by the HR function. On a day-to-day basis the Compliance Officer is responsible for ensuring the delivery of this policy.

c. Managers and employees (or those seconded to LT)

Management must ensure that employees or those seconded to LT provide services to clients so as to mitigate the risk of complaints and ensure that the Complaints Procedure is followed when a complaint is made.

6. Reporting

a. Internal Reporting

Managers and employees, (or those seconded), must report Complaints to the Compliance Officer.

The Compliance Officer will report on Complaints to LT's Board on a quarterly basis.

b. External Reporting

The HR Manager will report the aggregate Complaints Data to the Solicitors Regulation Authority as part of the annual Practising Certificate Renewal exercise.