



# Independent Complaints Review Service for the Solicitors Regulation Authority

## Application form

### **Please read this carefully before completing the application form**

The role of the Independent Complaints Review Service for the Solicitors Regulation Authority (SRA) is to review the way in which the SRA has responded to complaints made by any member of the public who has been affected by the actions or decisions of the SRA, provided that the complainant has first exhausted the SRA's internal complaints procedure.

The Service can review whether: the investigation was thorough and fair, that all relevant facts were taken into account, that the conclusions reached (in respect of complaints about the service provided by the SRA) were reasonable and properly explained; and that the investigation was handled efficiently and without unnecessary delay.

The Service is independent of the SRA and whilst it cannot overturn any regulatory judgements or decisions made by the SRA, it may offer an independent view on complaints and provide recommendations, advice and guidance to the SRA in relation to specific complaints and more generally to help it to achieve best practice in complaints handling procedures. The SRA does not have to comply with the reviewers' recommendations.

If you require assistance in completing this form please contact the Service on 020 7520 3800 or refer to our website for further details.

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### **Initial checklist**

**Is your application valid? If you cannot check both boxes your application will be declined.**

I have exhausted the SRA's two stage internal complaints procedure.

I understand that you cannot overturn regulatory judgements or decisions made by the SRA.

SRA complaint reference number (e.g. xxxx):

Date of the Stage 2 Complaint Response from the SRA:

*Please note: This Service can only accept applications up to 20 working days after the date of the Stage 2 response from the SRA.*



## Your details

Title:

First name:

Last name:

Role:

Solicitor

Client (current or former) of solicitor

Other

Address:

Town:

County:

Post code:

Email address:

Telephone  
number:

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Preferred method of contact

Email

Post

Other

*The Review Service will communicate with you by email unless otherwise requested.*



## Your complaint

In the following sections please give brief details of your complaint and attach any supporting documentation you would like the Reviewer to consider. Please focus on those issues which have not been resolved via the SRA internal complaint process.

Please note that the Independent Complaint Reviewer cannot investigate or overturn the regulatory judgements of the SRA.

The Independent Complaint Reviewer can investigate complaints into:

- failure to follow procedures;
- failure to respond in a timely manner;
- alleged discrimination;
- alleged discourtesy;
- failure to apologise or accept mistakes; and
- staff conduct of the SRA in handling the complaint.

The Independent Complaint Reviewer cannot investigate complaints into:

- issues relating to government policy or legislation; and
- issues which have already been considered by another independent competent authority such as the Legal Ombudsman.

## Chain of events

Provide as much relevant detail as you can about the events that led up to the issues you have encountered.



**Chain of events - continued**



## **Complaint handling by the SRA**

Tell us how the SRA has dealt with your complaint



## Recommendations

What recommendations are you asking the Independent Complaint Reviewer to make?

In relation to recommendations, this can be any of the following:

- an apology
- appropriate action to improve the SRA's practices or procedures
- appropriate action to rectify the situation, such as an extension of time to respond to a deadline
- an ex-gratia payment made in line with the SRA's special payments guidance.



## **Evidence**

Please list the items of evidence you are submitting with this application, noting that this application and supporting evidence will be sent to the SRA.



## Declarations

Please read and tick all the statements below carefully before signing this form.

I / We have exhausted the SRA internal complaints procedure (we will confirm this with the SRA) and acknowledge that this form and supporting evidence will be sent to the SRA.

I / We understand that the Reviewer's role is to only review the manner in which the SRA has dealt with a complaint by reference to its published complaint handling procedure.

I / We understand that the Reviewer is only empowered to make recommendations in relation to SRA's handling of the complaint. These recommendations may either be specific to the complaint or more general to improve SRA's processes and practices for dealing with complaints.

I / We understand that if the Reviewer does make recommendations they will not be binding upon the SRA but that if the SRA decides not to act on the Reviewer's recommendations then it must state its reasons for not doing so.

I / We understand that the Reviewer cannot review or overturn the regulatory judgements of the SRA

I / We understand that the Reviewer's decision is final and not subject to any appeal or review.

I / We understand that once the Reviewer's decision is issued, they will not enter into any further correspondence in relation to the complaint.

I / We are making this application on behalf of an organisation and have full written authority to do so (optional).

Print name:

Signed:

Date (dd/mm/yyyy):

Upon completion and signature, this form should be returned to:

Independent Complaints Review Service for the SRA  
100 St. Paul's Churchyard  
London EC4M 8BU

Email: [complaintsreview@cedr.com](mailto:complaintsreview@cedr.com)  
Tel: +44 (0)20 7520 3800