

Date:	30 September 2025
Item:	10.02 First Tier Complaint Handling
Author:	Jonathan Levack, Director of Policy and Governance
Title:	Consultation on First Tier Complaint Handling
Purpose:	This paper updates the Board on the conclusions of the consultation on introducing new complaint handling rules
Recommendation:	To APPROVE for CRL to apply to the LSB to introduce new complaint handling rules
Timing:	We intend to submit an application to the LSB to change our Rules in early October
Impact assessment	N/A
Impact on Regulatory Objectives	This work supports our intention to protect and promote the public interest.
Implications for Resources	This is being managed within existing resources
Impact on Consumer Empowerment	Maintaining and enhancing high standards of complaint handling by regulated legal professionals will promote consumer trust and confidence when engaging with legal services
Impact on Ongoing Competence	N/A
Publication Status	
Appendices	10.02.1 Summary of consultation responses

Background

1. Following the publication of the Legal Services Board Statement of Policy – First-Tier Complaints, we consulted on proposals to introduce new complaint handling rules.
2. Our proposals intended to set clearer expectations of what must be included in a complaint handling procedure (CHP), when and how information must be communicated to clients about the CHP and following a complaint and what firms must do to monitor, learn and make improvements to complaints handling service provision.
3. The consultation ran from 23rd June to 5th August 2025.

Consultation outcomes

4. We received 34 responses to the consultation from a range of stakeholders including entities (including ACCA Probate firms), regulated individuals and the Legal Ombudsman.
5. The majority (97%) of responses were supportive of the proposals. All respondents from CILEX Authorised firms and CILEX-ACCA Probate firms, agreed with our general approach to introduce Complaint Handling Rules.
6. The only substantive issues raised were a request for guidance and support for a model complaints handling procedure. As a result, we have prepared first tier complaint handling guidance to support the implementation of the new Rules. We continue to work with the Legal Ombudsman and others to introduce a model complaints handling resolution procedure.

Proposed next steps

7. Based on consultation feedback, we propose to proceed to apply to the LSB to introduce new Rules as outlined in the consultation. We do not see the need to amend these based on consultation feedback.

Recommendation

8. The Board is asked to **APPROVE** the proposal to proceed to apply to the LSB to introduce new Complaint Handling Rules

Timeline

Activity	Timing
Submission of Alternation Application for regulatory change	October 2025
Target Implementation	Mid-November 2025