



Information Sheet

Resolution Team information sheet

How we deal with concerns in the Conduct Assessment and Investigation Unit (from people who are not clients)

The Conduct Assessment and Investigation Unit is part of the Compliance Directorate of the Solicitors Regulation Authority. We deal with concerns about the professional conduct (behaviour) of solicitors if the person raising the report is not a client of the solicitor concerned. Our aim is to regulate the solicitors' profession effectively. So, we welcome concerns about solicitors' behaviour (conduct) as this helps us to regulate properly.

When can we investigate?

As your concern is about someone else's solicitor, we can only become involved if there is evidence of professional misconduct. We cannot investigate if you are complaining about the poor service someone else's solicitor has provided.

If you are concerned about the way someone else's solicitor has behaved, we can investigate if there is clear evidence that the solicitor has broken the rules of professional misconduct. (These rules are to do with the standard of behaviour of solicitors.)

"rules of professional misconduct" (?)
A Freudian slip?

How we deal with your report of misconduct

We start a file for you and give you a reference number. This will appear on all our correspondence with you.

We assess the reports of misconduct and identify any possible instances when the rules which govern the professional conduct of solicitors are broken.

This assessment may also find that the conduct rules were not broken or that the report involves issues which we cannot investigate.

The reasons for this may be:

- it is clear that no rule has been broken;
- there is no clear evidence to support the allegations of misconduct; and
- that the matter is one which the Regulation Board of the Solicitors Regulation Authority has decided does not call for investigation. If your report falls into this category, we will explain our reasons to you.

In your particular case, the caseworker decided that your report of misconduct fell into one of the categories listed above.

We will not be investigating your report any further. We will explain the reasons for this in a separate letter addressed to you. We will tell the solicitor that you have raised the matter and then close the file.

If you are not happy with the outcome of this matter or with the way in which we have dealt with it, you can ask the Legal Services Ombudsman to review our file. Please remember that there is usually a three month time limit, in which to make your referral. You will find the deadline for contacting the Legal Services Ombudsman in the accompanying letter. The Ombudsman's address is:

The Legal Services Ombudsman
3rd Floor
Sunlight House
Quay Street
Manchester
M3 3JZ.

Phone: 0161 839 7262
Phone: 0845 601 0794 (lo-call number)
Fax: 0161 832 5446
E-mail: lso@olso.gsi.gov.uk