



# Osprey Approach: Complaint Handling

This help guide was last updated on  
Aug 5th, 2024

The latest version is always online at  
<https://support.ospreyapproach.com/?p=36388>



Designed to be used as its own “matter”. Manage the complaints process through Osprey. Record details of the complaint, the details of the investigation and respond to the complainant. Ensure you respond to the complainant within accepted timeframes with automatic key dates. Reporting suite allows COLP to keep track of open companies and report on complaints for a specific period to make PI and accreditation renewals easier.

ALLOCATE A CUSTOM QUESTIONNAIRE

COMPLAINT DISCUSSED BY PHONE

Complaint Discussed by telephone

Please Select

Please Select

Yes

No

✓ Submit

Cancel

COMPLAINT DETAILS – MATTER DETAILS

Complaint Matter Reference

Complaint Matter Description

Complaint Matter Fee Earner

Please Select

Please Select

Your Fee Earners Here

Member of Staff Complaint Concerns

Please Select

Please Select

Your Staff Here

Office Complaint Concerns

Please Select

Please Select

Your Branches Here

Department Complaint Concerns

Please Select

Please Select

Your Departments Here

✓ Submit

Cancel

COMPLAINT DETAILS – COMPLAINANT DETAILS

Nature of Complainant

Please Select

Please Select

Client

Executor

Beneficiary

Other Party

Complainant 1 Title

Complainant 1 Initial

Complainant 1 First Name

Complainant 1 Surname

Complainant 1 Address

Complainant 2 Title

Complainant 2 Initial

Complainant 2 First Name

Complainant 2 Surname

Complainant 2 Address

 Submit

Cancel

COMPLAINT DETAILS

Complaint Received Date

Select a date

Complaint Type

Please Select

Please Select

Costs Excessive

Costs Information

Criminal Activity

Data Protection or Confidentiality Breach

Delays

Discrimination

Failure to act upon instructions

Failure to Correctly Advise

Failure to investigate complaint

Failure to keep informed

Failure to keep papers Safe

Failure to release Files or papers

Lack of Response or Reply

Potential Staff Misconduct

Complaint Summary

Complaint Details

Requested Remedy (If Specified)

Complaint is a Potential PI Claim

Please Select

Please Select

Yes

INVESTIGATION FINDINGS

Complaint Status

Please Select

Please Select

Upheld

Partially Upheld

Not Upheld

Proposed Remedy

Please Select

Please Select

Full Refund of Fees

Partial Refund of Fees

Discount

Compensation for financial loss

Compensation for distress and inconvenience

Completing or correcting work

Progressing matter within a specific timeframe

Returning documents

Proposed Remedy Details

Internal Action Required

Please Select

Please Select

Training

Review of Policies/Procedures

Staff Investigation

No Action Required

 Submit

Cancel

COMPLAINANTS INITIAL RESPONSE

Proposed Remedy Accepted

Please Select

Please Select

Yes

No

✓

Submit

Cancel

PROPOSED REMEDY REJECTION

Reason Proposed Remedy Rejected

Second Complaint Handler

Please Select

Please Select

Your Staff Here

✓

Submit

Cancel

FINAL INVESTIGATION FINDINGS

Complaint Status

Please Select

Please Select

Upheld

Partially Upheld

Not Upheld

Proposed Final Remedy

Please Select

Please Select

Upheld

Partially Upheld

Not Upheld

Proposed Final Remedy Details

 Submit

Cancel

COMPLAINANTS FINAL RESPONSE

Proposed Final Remedy Accepted

Please Select

Please Select

Yes

No

 Submit

Cancel



**FINAL REMEDY REJECTION**

Reason Proposed Final Remedy Rejected

 Submit

Cancel

# **Telephone Attendance Note**

## Telephone Attendance Note

### Complaint

Matter Number:	{ MERGEFIELD client_no } \ { MERGEFIELD matter_no }
Date and Time:	{ SET LETTER { DATE \@ "d MMMM yyyy" } } { LETTER \@ "d MMMM yyyy" }
From:	
To:	

Date of Complaint:	
Matter Concerned:	
Fee Earner:	
Member of staff Concerned:	

# **Acknowledgement of Complaint**

{INCLUDETEXT

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Our Ref: { MERGEFIELD COMP\_DET\_C\_COMP\_HAN }/{ MERGEFIELD client\_no }/{ MERGEFIELD matter\_no }

Your Ref:

{ QUOTE { DATE \@ "d MMMM yyyy" } }

{ IF { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } = "{ MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME }" "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } & { MERGEFIELD COMP\_COMPL\_C\_COMP2\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME }" "{ IF { MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME } = "" "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME }" "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } & { MERGEFIELD COMP\_COMPL\_C\_COMP2\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP2\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME }" }" } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_ADD }

Dear { IF { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } = "{ MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME }" "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } & { MERGEFIELD COMP\_COMPL\_C\_COMP2\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME }" "{ IF { MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME } = "" "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME }" "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } & { MERGEFIELD COMP\_COMPL\_C\_COMP2\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP2\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME }" }" }

**Re: { MERGEFIELD COMP\_DET\_C\_MAT\_DESC } - { MERGEFIELD COMP\_DET\_C\_MAT\_REF }**

I write to acknowledge receipt of your complaint received by this firm on { MERGEFIELD COMP\_DET\_C\_COMP\_DATE } in respect of the above matter. I am { MERGEFIELD COMP\_DET\_C\_COMP\_HAN } and I am the Complaints Handler for this firm, and I will be investigating your complaint and reporting back to you. May I first take the opportunity to apologize that you have felt it necessary to complain and that our service has not met our normal high levels of service, but I hope that following my investigation we will be able to find a suitable resolution to your grievance. I would like to reassure you that you will not be charged in any way for us dealing with your complaint.

### **Your Complaint**

{INCLUDETEXT

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I will now summarize your complaint to ensure that I have understood fully.

{ MERGEFIELD COMP\_DET\_C\_COMP\_DET }.

You have suggested that a suitable resolution to draw this matter to a close is {  
**MERGEFIELD COMP\_DET\_C\_REQ\_REM**}.

**Action to be taken**

{ IF { MERGEFIELD COMP\_DET\_C\_REP\_LEO } = "Yes" "I note that you say you have already reported this matter to the Legal Ombudsman. Whilst they will respond to you directly regarding your complaint, it is their policy that we have an opportunity to resolve the issue using our own internal complaints handling procedure in the first instant. If after we have completed our investigation and you are still not satisfied that we have resolved your complaint, you may then revert to the Legal Ombudsman for them to investigate further.

" "" }I confirm that I will now investigate your complaint as detailed in the Complaints Handling Policy attached and I will report back to you within 21 days of the date of this letter.

Yours sincerely

{ MERGEFIELD COMP\_DET\_C\_COMP\_HAN }

**COMPLAINTS HANDLER**

{ MERGEFIELD PRACTICEINFO\_PRACTICE\_NAME\\*UPPER }

# **Complaints Handling Policy**

## **{ MERGEFIELD PRACTICEINFO\_PRACTICE\_NAME }**

### **Complaints Handling Policy**

#### **Our complaints policy**

We are committed to providing a high-quality legal service to all our clients. When something goes wrong, we need you to tell us about it. This will help us to improve our standards.

In the first instance it may be helpful to contact the person who is working on your case to discuss your concerns and we will do our best to resolve any issues. If you would like to make a formal complaint, please contact us in writing by letter to { MERGEFIELD PRACTICEINFO\_HOUSE \f" "{ MERGEFIELD PRACTICEINFO\_AREA \f" "{ MERGEFIELD PRACTICEINFO\_POSTAL\_TOWN \f" "{ MERGEFIELD PRACTICEINFO\_COUNTY \f" "{ MERGEFIELD PRACTICEINFO\_POSTCODE } or email to { MERGEFIELD PRACTICEINFO\_E\_MAIL }. Making a complaint will not affect how we handle your case.

The Solicitors Regulation Authority can help if you are concerned about our behaviour. This could be for things like dishonesty, taking or losing your money or treating you unfairly because of your age, a disability or other characteristic. Visit their website to see how you can raise your concerns with the Solicitors Regulation Authority by visiting { HYPERLINK "https://www.sra.org.uk/consumers/problems/report-solicitor/" } .

To help us to understand your complaint please tell us your full name and contact details, what you think we have got wrong, what you hope to achieve as a result of your complaint and the reference number of the matter about which you are complaining if you have one.

We have eight weeks in which to consider your complaint but will endeavour to respond to you within 21 days of the date of our acknowledgement letter. If we have not resolved it within this time you may complain to the Legal Ombudsman.

#### **What will happen next?**

Your complaint will be passed to our Complaints Manager who will not only will endeavour to find a solution as quickly as possible but will also review our procedures and protocols and to identify any areas for improvement. In order to track your query, we create a new matter in our Complaints worktype. This way, regardless of what has triggered your initial concern, we will be able to record and centrally manage the matter.

The Complaints Manager will, if possible, contact you initially by telephone to discuss your concerns. Whether or not a telephone conversation has been possible, the Complaints Manager will write to you acknowledging receipt of your complaint and enclosing a copy of this procedure.

The Complaints Manager will then investigate your complaint, including reviewing your matter file and gathering appropriate evidence, speaking to the member of staff who acted for you and if necessary interviewing other witnesses.

Upon conclusion of his/her investigations the Complaints Manager will send you a detailed written reply to your complaint, including his/her suggestions for resolving the matter, within 21 days of receiving your complaint.

At this stage, if you are still not satisfied, you should contact us again and we will arrange for our Escalation Manager to review the decision.

We will write to you within 14 days of receiving your request for a review, confirming our final position on your complaint and explaining our reasons. If you are still unhappy you can ask the Legal Ombudsman to look into your complaint. You can contact the Legal Ombudsman by post at PO Box 6806, Wolverhampton, WV1 9WJ, by telephone: 0300 555 0333, or by email at { HYPERLINK "mailto:enquiries@legalombudsman.org.uk" }. Normally, you will need to bring a complaint to the Legal Ombudsman ({ HYPERLINK "http://www.legalombudsman.org.uk/" }.) within six months of receiving a final written response from us about your complaint or within a year of the act or omission about which you are complaining occurring (or you becoming aware of it).



# **Steps in Investigation of**

# Complaint

## **Suggested Steps in Investigating a Complaint**

### **GATHER EVIDENCE**

- Consider both written and verbal evidence
- Check telephone and email records
- Review file

### **SPEAK TO STAFF**

- Are witness statements appropriate?
- Are all potential witnesses available to make statements?
- Ensure staff on annual leave / on sick leave are interviewed if necessary

### **EVALUATE ALL EVIDENCE INDEPENDENTLY**

- Ensure that no evidence has been overlooked
- Consider the nature of the complaint, its validity, and the aims of the complainant(s)

### **BASED UPON EVALUATION, DECIDE UPON APPROPRIATE REMEDY**

# **Complaint Investigation File Note**

## Final Complaint Investigation File Note

Matter Number:	{ MERGEFIELD client_no }{ MERGEFIELD matter_no }
Initial Compliant Handler:	{ MERGEFIELD COMP_DET_C_COMP_HAN }
Final Complaint Handler:	{ MERGEFIELD COMP_DET_C_COMP_SHAN }
Date of Complaint:	{ MERGEFIELD COMP_DET_C_COMP_DATE }
Matter Concerned:	{ MERGEFIELD COMP_DET_C_MAT_REF } { MERGEFIELD COMP_DET_C_MAT_DESC }
Fee Earner:	{ MERGEFIELD COMP_DET_C_MAT_FE }
Member of staff Concerned:	{ MERGEFIELD COMP_DET_C_STAFF_CONCND }
Department:	{ MERGEFIELD COMP_DET_C_DEPT }
Office:	{ MERGEFIELD COMP_DET_C_OFFICE }
Complainant(S):	{ MERGEFIELD "COMP_COMPL_C_COMP1_TITLE" \f" "{ MERGEFIELD "COMP_COMPL_C_COMP1_FNAME" \f" "{ MERGEFIELD "COMP_COMPL_C_COMP1_SNAME" \f" "{ IF { MERGEFIELD COMP_COMPL_C_COMP2_SNAME } <> "" " and { MERGEFIELD "COMP_COMPL_C_COMP2_TITLE" \f" "{ MERGEFIELD "COMP_COMPL_C_COMP2_FNAME" \f" "{ MERGEFIELD "COMP_COMPL_C_COMP2_SNAME" }" "" }
Nature of Complainant:	{ MERGEFIELD COMP_COMPL_C_COMP_NAT }
Complaint Type:	{ MERGEFIELD COMP_DET_C_COMP_TYPE }
Reported to the LeO:	{ MERGEFIELD COMP_DET_C_REP_LEO }
Potential PI claim:	{ MERGEFIELD COMP_DET_C_POT_CLAIM }
Complaint Details:	{ MERGEFIELD COMP_DET_C_COMP_DET }
Requested Remedy:	{ MERGEFIELD COMP_DET_C_REQ_REM }
Complaint Status:	{ MERGEFIELD COMP_PRO_C_COMP_STATUS }
Initial Proposed Remedy:	{ MERGEFIELD COMP_PRO_C_PROP_REM }
Initial Proposed Remedy Details:	{ MERGEFIELD COMP_PRO_C_PROP_REM_DET }
Reason for Rejecting Proposal:	{ MERGEFIELD COMP_PRO_C_PROP_REM_REJ }
Final Proposed Remedy:	{ MERGEFIELD COMP_PRO_C_PROP_REM2 }
Final Proposed Remedy Details:	{ MERGEFIELD COMP_PRO_C_PROP_REM2_DET }
Internal Action Required:	{ MERGEFIELD COMP_PRO_C_REM_ACT_REQ }
Notes:	

# **Initial Response to Complainant**

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Our Ref: { MERGEFIELD COMP\_DET\_C\_COMP\_HAN }/{ MERGEFIELD client\_no }/{ MERGEFIELD matter\_no }

Your Ref:

{ QUOTE { DATE \@ "d MMMM yyyy" } }

{ IF { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } =" { MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME } " "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } & { MERGEFIELD COMP\_COMPL\_C\_COMP2\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } " "{ IF { MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME } = "" "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } " "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } & { MERGEFIELD COMP\_COMPL\_C\_COMP2\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP2\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME } " }" } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_ADD }

Dear { IF { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } =" { MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME } " "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } & { MERGEFIELD COMP\_COMPL\_C\_COMP2\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } " "{ IF { MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME } = "" "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } " "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } & { MERGEFIELD COMP\_COMPL\_C\_COMP2\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP2\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME } " }" }

**Re: { MERGEFIELD COMP\_DET\_C\_MAT\_DESC } - { MERGEFIELD COMP\_DET\_C\_MAT\_REF }**

Further to my recent acknowledgement of your complaint, I write to advise you of the results of my investigations and once again apologise that you felt it necessary to complain and that our service has not met our normal high levels of service.

### **Your Complaint**

I will now summarize your complaint again to ensure that I have understood fully.

{ MERGEFIELD COMP\_DET\_C\_COMP\_DET }

### **My Investigation**

{INCLUDETEXT

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In order to fully investigate your complaint, I took the following steps

Following a full and independent evaluation of all the evidence, { IF { MERGEFIELD COMP\_PRO\_C\_COMP\_STATUS } = "Upheld" "I have found that our service did fall below our normal high standards and I have found your complaint to be valid" "{ IF { MERGEFIELD COMP\_PRO\_C\_COMP\_STATUS } = "Not Upheld" "I have found that our service did meet our normal high standards and I am not able to uphold your complaint. My reasons for this are " "{ IF { MERGEFIELD COMP\_PRO\_C\_COMP\_STATUS } = "Partially Upheld" "I have found that some areas our service did fall below our normal high standards and I can therefore partially uphold your complaint. The points of your complaint that I did feel were valid were... I have found that ... did meet our normal levels of service and therefore I am unable to uphold that part of your complaint." "" }" }" }

### **Proposed Remedy**

My proposals to resolve this matter are as follows:

{ MERGEFIELD COMP\_PRO\_C\_PROP\_REM\_DET }.

I would be obliged if you would give some time to consider this letter and to decide whether the proposed remedy meets with your approval.

I look forward to hearing from you further.

Yours sincerely

{ MERGEFIELD COMP\_DET\_C\_COMP\_HAN }  
COMPLAINTS HANDLER  
{ MERGEFIELD PRACTICEINFO\_PRACTICE\_NAME\\*UPPER }



## **Letter to Complainant Closing**

**complain**

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Our Ref: { MERGEFIELD COMP\_DET\_C\_COMP\_HAN }/{ MERGEFIELD client\_no }/{ MERGEFIELD matter\_no }

Your Ref:

{ QUOTE { DATE \@ "d MMMM yyyy" } }

{ IF { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } =" { MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME } " "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } & { MERGEFIELD COMP\_COMPL\_C\_COMP2\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } " "{ IF { MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME } = "" "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } " "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } & { MERGEFIELD COMP\_COMPL\_C\_COMP2\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP2\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME } " }" } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_ADD }

Dear { IF { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } =" { MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME } " "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } & { MERGEFIELD COMP\_COMPL\_C\_COMP2\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } " "{ IF { MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME } = "" "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } " "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } & { MERGEFIELD COMP\_COMPL\_C\_COMP2\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP2\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME } " }" }

**Re: { MERGEFIELD COMP\_DET\_C\_MAT\_DESC } - { MERGEFIELD COMP\_DET\_C\_MAT\_REF }**

Further to my recent investigation into your complaint and your acceptance of my proposed resolution, I write to advise you that I will now proceed to close your complaint.

I would again like to apologise that you had cause to raise a complaint and hope that you will use us again in the future if the need arises.

Should you have any further issues please do not hesitate to contact me again or the member of staff with conduct of your matter.

Yours sincerely

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```
{ MERGEFIELD COMP_DET_C_COMP_HAN }  
COMPLAINTS HANDLER  
{ MERGEFIELD PRACTICEINFO_PRACTICE_NAME\*UPPER }
```

# **Second Response to Complainant**

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Our Ref: { MERGEFIELD COMP\_DET\_C\_COMP\_SHAN }/{ MERGEFIELD client\_no }/{ MERGEFIELD matter\_no }

Your Ref:

{ QUOTE { DATE \@ "d MMMM yyyy" } }

{ IF { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } =" { MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME } " "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } & { MERGEFIELD COMP\_COMPL\_C\_COMP2\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } " "{ IF { MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME } = "" "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } " "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } & { MERGEFIELD COMP\_COMPL\_C\_COMP2\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP2\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME } " }" } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_ADD }

Dear { IF { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } =" { MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME } " "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } & { MERGEFIELD COMP\_COMPL\_C\_COMP2\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } " "{ IF { MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME } = "" "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } " "{ MERGEFIELD COMP\_COMPL\_C\_COMP1\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP1\_SNAME } & { MERGEFIELD COMP\_COMPL\_C\_COMP2\_TITLE } { MERGEFIELD COMP\_COMPL\_C\_COMP2\_INITIAL } { MERGEFIELD COMP\_COMPL\_C\_COMP2\_SNAME } " }" }

**Re: { MERGEFIELD COMP\_DET\_C\_MAT\_DESC } - { MERGEFIELD COMP\_DET\_C\_MAT\_REF }**

Further to your correspondence with my colleague { MERGEFIELD COMP\_DET\_C\_COMP\_HAN }, I regret to note that you were not satisfied with our earlier proposed remedy of your complaint.

My name is { MERGEFIELD COMP\_DET\_C\_COMP\_SHAN } and I have now taken over this matter and will carry out a thorough review of the details of the original complaint and the earlier decision by { MERGEFIELD COMP\_DET\_C\_COMP\_HAN }.

I will report back to you within 14 days confirming our final position on your complaint and trust that we will be able to resolve the situation. In the meantime, I enclose a further copy of

{INCLUDETEXT

"C:\\Users\\JaneE\\AppData\\Local\\Packages\\PraccticeLimited.OspreyApproachSupervisorApp\_expxx2x1s6rv4\\LocalState\\OspreyDocuments\\bba13bf6-6f5b-4ae1-9558-17cfd438edcd\\footer.doc"}

our Complaints Handling Policy for your convenience.

Yours sincerely

**{ MERGEFIELD COMP\_DET\_C\_COMP\_SHAN }**  
**COMPLAINTS HANDLER**  
**{ MERGEFIELD PRACTICEINFO\_PRACTICE\_NAME\\*UPPER }**

# **Final Complaint Investigation File**



# Note

## Final Complaint Investigation File Note

Matter Number:	{ MERGEFIELD client_no }{ MERGEFIELD matter_no }
Initial Compliant Handler:	{ MERGEFIELD COMP_DET_C_COMP_HAN }
Final Complaint Handler:	{ MERGEFIELD COMP_DET_C_COMP_SHAN }
Date of Complaint:	{ MERGEFIELD COMP_DET_C_COMP_DATE }
Matter Concerned:	{ MERGEFIELD COMP_DET_C_MAT_REF } { MERGEFIELD COMP_DET_C_MAT_DESC }
Fee Earner:	{ MERGEFIELD COMP_DET_C_MAT_FE }
Member of staff Concerned:	{ MERGEFIELD COMP_DET_C_STAFF_CONCND }
Department:	{ MERGEFIELD COMP_DET_C_DEPT }
Office:	{ MERGEFIELD COMP_DET_C_OFFICE }
Complainant(S):	{ MERGEFIELD "COMP_COMPL_C_COMP1_TITLE" \f" "{ MERGEFIELD "COMP_COMPL_C_COMP1_FNAME" \f" "{ MERGEFIELD "COMP_COMPL_C_COMP1_SNAME" \f" "{ IF { MERGEFIELD COMP_COMPL_C_COMP2_SNAME } <> "" " and { MERGEFIELD "COMP_COMPL_C_COMP2_TITLE" \f" "{ MERGEFIELD "COMP_COMPL_C_COMP2_FNAME" \f" "{ MERGEFIELD "COMP_COMPL_C_COMP2_SNAME" }" "" }
Nature of Complainant:	{ MERGEFIELD COMP_COMPL_C_COMP_NAT }
Complaint Type:	{ MERGEFIELD COMP_DET_C_COMP_TYPE }
Reported to the LeO:	{ MERGEFIELD COMP_DET_C_REP_LEO }
Potential PI claim:	{ MERGEFIELD COMP_DET_C_POT_CLAIM }
Complaint Details:	{ MERGEFIELD COMP_DET_C_COMP_DET }
Requested Remedy:	{ MERGEFIELD COMP_DET_C_REQ_REM }
Complaint Status:	{ MERGEFIELD COMP_PRO_C_COMP_STATUS }
Initial Proposed Remedy:	{ MERGEFIELD COMP_PRO_C_PROP_REM }
Initial Proposed Remedy Details:	{ MERGEFIELD COMP_PRO_C_PROP_REM_DET }
Reason for Rejecting Proposal:	{ MERGEFIELD COMP_PRO_C_PROP_REM_REJ }
Final Proposed Remedy:	{ MERGEFIELD COMP_PRO_C_PROP_REM2 }
Final Proposed Remedy Details:	{ MERGEFIELD COMP_PRO_C_PROP_REM2_DET }
Internal Action Required:	{ MERGEFIELD COMP_PRO_C_REM_ACT_REQ }
Notes:	

# **Final Response to Complainant**

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Our Ref: { MERGEFIELD COMP\_DET\_C\_COMP\_SHAN }/{ MERGEFIELD client\_no }/{ MERGEFIELD matter\_no }

Your Ref:

{ QUOTE { DATE \@ "d MMMM yyyy" } }

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**Re: { MERGEFIELD COMP\_DET\_C\_MAT\_DESC } - { MERGEFIELD COMP\_DET\_C\_MAT\_REF }**

Further to my recent correspondence, I can now confirm that I have completed my review of this matter, the details of which are set out below:

### **Your Complaint**

Your complaint related to { MERGEFIELD COMP\_DET\_C\_COMP\_DET }

### **Our Original Investigation**

In order fully to investigate your complaint, { MERGEFIELD COMP\_DET\_C\_COMP\_HAN } took the following steps....

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Following a full and independent evaluation of all the evidence, { MERGEFIELD COMP\_DET\_C\_COMP\_HAN } came to the following conclusion:

**Our Original Proposed Remedy**

Our original proposals to resolve this matter were as follows:  
{ MERGEFIELD COMP\_PRO\_C\_PROP\_REM\_DET }

You advised that you were not satisfied with the original proposed remedy, and the matter was therefore escalated to me, for a thorough review. Your reasons for not accepting the proposal were { MERGEFIELD COMP\_PRO\_C\_PROP\_REM\_REJ }.

**My Findings**

Having carried out a thorough review of the matter to date, my findings are as follows:

I would like to propose the following remedy in the hopes that we can bring this matter to a satisfactory conclusion.

{ MERGEFIELD "COMP\_PRO\_C\_PROP\_REM2\_DET" }

I would be obliged if you would give some time to consider this letter and to decide whether the proposed remedy meets with your approval.

I look forward to hearing from you further.

Yours sincerely

{ MERGEFIELD COMP\_DET\_C\_COMP\_SHAN }  
COMPLAINTS HANDLER  
{ MERGEFIELD PRACTICEINFO\_PRACTICE\_NAME\\*UPPER }

# **Final Letter to Complainant**

# **Closing Complaint**

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**Re: { MERGEFIELD COMP\_DET\_C\_MAT\_DESC } - { MERGEFIELD COMP\_DET\_C\_MAT\_REF }**

Further to our recent investigation and review into your complaint and your acceptance of my second proposed resolution, I write to advise you that I will now proceed to close your complaint.

I would again like to apologise that you had cause to raise a complaint and hope that you will use us again in the future if the need arises.

Should you have any further issues please do not hesitate to contact me again or the member of staff with conduct of your matter.

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Yours sincerely

**{ MERGEFIELD COMP\_DET\_C\_COMP\_SHAN }**

**COMPLAINTS HANDLER**

**{ MERGEFIELD PRACTICEINFO\_PRACTICE\_NAME\\*UPPER }**

# **Final Letter to Complainant**

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**Re: { MERGEFIELD COMP\_DET\_C\_MAT\_DESC } - { MERGEFIELD COMP\_DET\_C\_MAT\_REF }**

I write further to the above matter and am sorry to note that you do not wish to accept our final proposals of { MERGEFIELD COMP\_PRO\_C\_PROP\_REM2\_DET } to resolve this matter.

As previously advised in our Complaints Handling Policy, as we have now completed our complaints procedure and investigation, and this is our final response. As you are still not satisfied that we have settled your complaint, you may now revert to the Legal Ombudsman for them to investigate further. If you wish to do so, you will find information about pursuing this course of action in the Complaints Handling Policy, a further copy of which I enclose for your convenience. Any complaint to the Legal Ombudsman needs to be raised within six

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months of the date of this letter.

You may also be able to submit your complaint to a certified alternative dispute resolution (ADR) provider. One such provider is xxx and we agree to use the scheme operated by that body.

Yours sincerely

**{ MERGEFIELD COMP\_DET\_C\_COMP\_SHAN }**  
**COMPLAINTS HANDLER**  
**{ MERGEFIELD PRACTICEINFO\_PRACTICE\_NAME\\*UPPER }**