



Summary of Decision

The following table is a high level summary of the decision of the Legal Services Board. It is not a formal part of the decision notice.

Purpose of notice
<p>To grant, in part, an application from the SRA approving alterations to its regulatory arrangements in respect of its Regulatory Reform Programme.</p>
Alterations that are being approved by this decision
<p>COLP/COFA deemed approval – measures to deem the approval of compliance officers in sole practices and small firms.</p> <p>COLP/COFA candidate declaration – removal of the requirements for a separate declarations form and notifications to prospective role holders, in addition to the applicant firm.</p> <p>ABS authorisation – removal of the requirements for the SRA to approve individual managers within ABS corporate owners and for firms to notify the SRA of a manager deemed to be authorised as a manager or owner of an ABS at least 7 days in advance.</p> <p>Insolvency – measure to allow the SRA to refuse or impose conditions on renewal of a practising certificate, where applicants have been involved in partnerships that have entered administration but have not yet been subject to insolvency or bankruptcy.</p> <p>Diversity data – measures to require firms to have in place appropriate arrangements for monitoring, reporting and publishing diversity data and clarifying that firms' written equality and diversity policies need not be contained in one separate document.</p> <p>Apprenticeship pathway – amendment of the SRA training requirements to permit qualification as a solicitor through an apprenticeship route.</p>
Alterations that are not being approved by this decision
<p>Reserved Activities – the LSB is not approving these alterations by this decision. These will be the subject of further consideration.</p>

Decision notice

Issued by the Legal Services Board under Part 3 of Schedule 4 to the Legal Services Act 2007

The Solicitors Regulation Authority's application for approval of alterations to its regulatory arrangements in respect of its Regulatory Reform Programme

The Legal Services Board (**LSB**) has granted in part an application from the Solicitors Regulation Authority (**SRA**) to approve alterations to the regulatory arrangements in respect of the SRA Regulatory Reform Programme. The Law Society is an approved regulator and the SRA is the regulatory arm to which The Law Society has delegated its regulatory functions.

This decision notice sets out the decision taken, including a brief description of the alterations approved and the alterations which have not been approved at this time. The notes at the end of this notice explain the statutory basis for the decision.

The chronology for the LSB's handling of this application is set out at the end of this decision notice.

LSB general comments

1. The LSB welcomes the overall intentions of the SRA Regulatory Reform Programme. We support the drive of the SRA to remove unnecessary regulatory barriers and restrictions (which can inhibit economic growth in the sector) while at the same time making its regulatory framework targeted and proportionate.
2. While broadly welcoming the alterations, the LSB invites approved regulators in the future to consider whether a range of alterations, some of which have potentially significant implications, should be contained in a single consultation document. Furthermore, while the responses to the consultation were featured in an SRA Board paper (which is available online) and in the SRA's application to the LSB (which is also published by the LSB), analysis of the responses was not published on the SRA's consultation web pages (for example, such as was done for the SRA Red Tape Initiative Phase 3 consultation which also contained a range of proposed alterations).

The alterations to SRA regulatory arrangements that are being approved

COLP/COFA deemed approval

3. The SRA requires that an application be made for approval of all firms' compliance officers (Compliance Officer for Legal Practice (COLP) and Compliance Officer for Finance and Administration (COFA)), both at the time of the firm's initial application for authorisation, and in the event of any change to the individuals occupying these roles. The SRA alterations introduce a new regulatory arrangement, Rule 13.3, the effect of which will be to permit "deemed approval" of COLPs and COFAs in small

firms (that is with an annual turnover of less than £600,000 per annum) and in sole practices.

LSB comments

4. The LSB asked the SRA to clarify why the application stated that the deemed approval arrangement will apply to firms with 1-4 managers, but this was not reflected in the wording of the new Rule 13.3. The SRA confirmed that this was a drafting error in the application. The SRA explained that following its consultation it had decided that £600,000 was the appropriate threshold for ensuring that the deeming provision was not extended to very large firms.
5. The LSB also noted that under the ABS Authorisation alterations, the SRA proposed to remove the requirement for the SRA to approve individual managers within ABS corporate owners. The LSB asked whether it could still be possible for a COFA to be approved through the deeming, but the SRA may have little information on them if they are not a lawyer. The SRA confirmed that the deeming provisions will only apply to a sole practitioner or to a lawyer who is the manager of the authorised body and who is able to satisfy the other conditions in Rule 13.3.
6. The LSB also asked about the proposal that the SRA no longer undertakes a separate check for spent convictions for those lawyer-managers benefiting from the new deeming process. The SRA said that it considered that there was not a significant risk from this change, in the light of its experience as a licensing authority. It was not aware of any instances when checking for spent convictions had unearthed issues that had had an impact on the result of the SRA's assessment of a lawyer-manager applying as a compliance officer. The LSB noted that the SRA consider the check to be of limited benefit and that the regulatory history of an individual is more relevant. The SRA alterations make clear under Rule 13.3(d) that the deeming provisions will not apply where an individual is subject to a regulatory investigation or finding.

COLP/COFA candidate declaration

7. The SRA requires all candidates for approval as manager, owner or COLP/COFA to declare in the form they put forward to take on that role, that the information supplied about them is correct and complete. The rules also require that the SRA has to notify each candidate, as well as the firm, of the SRA's decision to approve or refuse approval. The SRA propose to no longer require prospective post holders to make separate declarations from their applicant firm, and to simplify the notification requirements.

LSB comments

8. The LSB noted the reasons the SRA gave in its application that the current arrangements are not addressing any problem and are disproportionate when it is the firm that is accountable to the SRA for providing full and accurate information. The

LSB acknowledges that it will remove a layer of regulation, since the authorised body already receives a declaration from each COLP/COFA candidate that the information they supply is correct and complete. By also removing the requirement for the SRA to notify each separate candidate of its decision to approve or refuse approval, it is further simplifying its regulatory procedures.

ABS Authorisation

9. The SRA current procedures require it to separately assess and approve each individual manager in an ABS corporate owner, and require that it is informed 7 days in advance, where its existing rules allow the deeming of an authorised manager or owner of an ABS. The SRA proposes to remove these requirements.

LSB comments

10. The LSB noted from the application that some respondents to the consultation raised concerns that individual ABS owners may become “hidden” behind the ABS authorisation process. The SRA’s response is that the applicant corporate body will still be required to provide details of its governance as part of the approval process. The SRA’s view is that the removal will not adversely affect professional standards. With respect to the removal of the 7-day time frame for firms to notify the SRA of a manager deemed to be authorised as a manager or owner, the SRA will still need to be informed. The LSB consider removal of the 7-day requirement seems to be a reasonable removal of an unnecessary arrangement.

Insolvency

11. The SRA may refuse or impose conditions on an application for renewal of a practising certificate following certain events. These events include the bankruptcy, insolvency or administration of individual applicants, or any entities in which they have been partners (members), managers or directors. However, the regulation does not currently cover the situation where the applicant is a member of a partnership that has entered into administration but where there has not yet been an individual voluntary arrangement, partnership voluntary arrangement or declared bankruptcy. The SRA proposes, therefore, through the change, to have the power to refuse or impose conditions on renewal of a practising certificate, where applicants have been involved in partnerships that have entered administration but have not yet been subject to insolvency or bankruptcy.

LSB comments

12. The LSB recognises that the purpose of this change is to close a gap and make consistent the SRA’s regulatory arrangements with respect to the treatment of applicants who have entered administration but have not yet been subject to insolvency or bankruptcy. The LSB noted that respondents to the SRA’s Regulatory Reform Programme consultation, unanimously concurred with this change.

Diversity Data

13. The SRA require firms to submit data regarding the diversity make up of their workforce on an annual basis, in line with LSB guidance¹. The SRA have advised firms on how to do this through providing information and ad hoc advice. However, although the SRA has in place this requirement on firms, it is set out in guidance, and is not currently reflected in Chapter 2 of the SRA's Code of Conduct. The SRA propose including in its regulatory arrangements a new outcome that requires firms have in place appropriate arrangements for monitoring, reporting and publishing diversity data, and clarifying that firms' written equality and diversity policies need not be contained in one separate document.

LSB comments

14. The LSB welcomes the inclusion of a new outcome to the SRA Code of Conduct to reflect the SRA's current requirement (which reflects LSB guidance) to have in place appropriate arrangements for monitoring, reporting and publishing workforce diversity data.

Apprenticeship pathway

15. Presently, admission as a solicitor is through the completion of specified academic and vocational steps of training or through exemption from all or part of the academic or vocational stages (by equivalent means). For lawyers from other jurisdictions it is through compliance with the SRA's Qualified Lawyer Transfer Scheme Regulations. The alterations proposed to the SRA's Training Regulations 2014 will permit qualification as a solicitor through an apprenticeship route.

LSB comments

16. The LSB is aware that the SRA has previously committed itself to the apprenticeship route. The LSB notes that the SRA has put in place mechanisms to ensure that individuals who wish to take this route have met the standards set out in its Competence Statement published in April 2015. The LSB considers that it will be important for the SRA to ensure that it has in place systems to test and review whether standards continue to be met. The LSB therefore welcomes that qualification through this route will include a requirement for individuals to pass an assessment conducted and approved by the SRA, and that when the first apprenticeship assessments are available in 2018 it will be in a position to review whether there has been any impact on standards.

¹ LSB diversity guidance - issued in July 2011
http://www.legalservicesboard.org.uk/what_we_do/regulation/pdf/diversity_guidance_final.pdf

The alterations to SRA regulatory arrangements that are not being approved at this time

Reserved Activities

17. The SRA current regulatory arrangements list the circumstances where it may revoke or suspend a firm's authorisation, including where it is satisfied that the body has no intention of carrying on the legal services for which it has been authorised. The SRA proposes to remove two rules, 4.2 and 22.1(a)(iii), from its Authorisation Rules for Legal Services Bodies and Licensable Bodies 2011 (SRA Authorisation Rules 2011) . The removal of 4.2 will mean that an application by a licensable body for authorisation will no longer need to include a statement about what reserved legal activities the body seeks authorisation for. The removal of 22.1(a)(iii) will remove the SRA's ability to revoke or suspend a body's authorisation where it is satisfied that the body has no intention of carrying on the legal activities it has been authorised for. The effect of the removal of these rules will mean that a licensed or authorised body will no longer face losing its authorisation if it does not carry out reserved legal activities.
18. There was a further proposed alteration to the SRA Authorisation Rules 2011, a drafting deletion which would simplify rule 4.3 so that it states that the SRA may grant an application (for authorisation) in relation to one or more reserved activities. While this change does not raise the questions raised by the proposed deletion of 4.2 or 22.1(a)(iii), as it forms part of the Reserved Activities alterations, the SRA expressed the view that the alteration to 4.3 should only be made if 4.2 is approved. Consequently, 4.3 is also not approved at this time.
19. The LSB's main concern is that the proposed Reserved Activities alterations continue to raise questions for the LSB and as a result we are considering refusing the proposals under the refusal criteria in Schedule 4, Part 3 of the Legal Services Act 2007 (**the Act**). Of particular bearing with respect to the proposed alterations is whether:
 - Granting the application would be prejudicial to the regulatory objectives, including, protecting and promoting the public interest, and protecting and promoting the interest of consumers
 - Granting the application would be contrary to the public interest
 - Granting the application would be contrary to any provision made by or by virtue of the Act or other enactment.
20. Our concerns include, but are not limited to, whether enabling providers of non-reserved legal services (for which there is no statutory requirement to be authorised) to choose to become authorised can amount to a proper exercise of regulatory functions, whether the effect of the proposals is to introduce accreditation rather than authorisation, and if it has a potentially detrimental impact on consumers and the public interest.

21. The Act requires that, if the LSB is considering whether to refuse an application, it issue a warning notice to the applicant. A warning notice on the Reserved Activities part of the application was issued to The Law Society as the approved regulator on 28 October 2015 and a letter was sent to the Chief Executive of the SRA at the same time which set out in more detail the reasons for that notice being issued.

Decision

22. The LSB has considered the SRA's application against the criteria in paragraph 25(3) of Schedule 4 to the Act and is approving the application in part.
23. The LSB is not approving at this time, the removal of 4.2 or 22.1(a)(iii) from the SRA Authorisation Rules 2011 or the drafting alterations to rule 4.3 of the SRA Authorisation Rules 2011.
24. For clarity, the specific rule alterations that this notice approves are listed below. The Annex to this Decision Notice contains the specific references and the detailed text amendments to the SRA's regulatory arrangements approved by the LSB. This Annex carries the same alterations (minus the alterations to the Authorisation Rules the LSB is not approving in this decision notice) that were approved by the SRA Board on 9 September 2015 and which were included as part of the SRA Board Paper submitted with the application. For the avoidance of doubt, it is not the version of the alterations submitted (in error) by the SRA as Annex 1 to its application. The LSB does not need to approve the guidance to Rule 8 of the SRA Authorisation Rules 2011, referred to in Annex 1 to the application as it does not form part of the SRA's regulatory arrangements.

COLP/COFA deemed approval

SRA Authorisation Rules for Legal Services Bodies and Licensable Bodies 2011

- New Rule 13.3 - Deemed approval rule
- Rule 14.8 additional text
- Rule 17 additional text
- Rule 18 additional text

COLP/COFA candidate declaration

SRA Authorisation Rules for Legal Services Bodies and Licensable Bodies 2011

- Rule 14 Approval process and production of information documentation, removal of Rule 14.3
- Removal of text in Rule 14.4

ABS authorisation operational changes

SRA Authorisation Rules for Legal Services Bodies and Licensable Bodies 2011

Remove requirement for approval of managers in ABS corporate owners

- Part 3: Conditions of Authorisation Rule 8.6 Management and control, removal of text in 8.6(a)(ii)
- Remove 7 day notification requirement

- Part 4: Approval of managers, owners and compliance manager, Rule 13: Application for approval, Rule 13.2(c) removal of text
- Rule 13.2(d) additional text

Insolvency

SRA Practising Regulations 2011

- Part 1: Applications, conditions and appeals, Regulation 3: Application following certain events, Regulation 3.1(k)(iii). Additional text.

Diversity data

SRA Code of Conduct 2011

- 1st section: You and your client, Chapter 2, Equality and Diversity, Outcomes, new outcome O(2.6) plus new Note.
- Indicative behaviours, additional text to IB(2.1)

Apprenticeship route

SRA Training Regulations 2014 Qualification and Provider Regulations

- Part 2: Education and training requirements, new 2.1(a)i and ii.
- Deletion of 2.1(b)
- Additional text in 2.2
- Addition of new rule 2.5
- Additional text in Regulation 5: Recognised training, 5.1

SRA Handbook Glossary 2012

- Two new definitions “Apprenticeship Standard for a Solicitor (England)” and “Level 7 Higher Apprenticeship in Legal Practice (Wales)”

Chronology

- The LSB confirmed receipt of an application from the SRA on 16 September 2015.
- The 28 day initial decision period for considering the application ended on 13 October 2015.
- The LSB issued an extension notice on 12 October 2015
- A warning notice was issued on 28 October 2015
- This decision notice is effective from 29 October 2015.
- The decision notice will be published on our website on 30 October 2015.

Caroline Wallace, Strategy Director

**Acting under delegated authority granted by the Board of the Legal Services Board
29 October 2015**

Notes:

1. The LSB is required by Part 3 of Schedule 4 to the Act to review and grant or refuse applications by approved regulators to make alterations to their regulatory arrangements.
2. Paragraph 25(3) of Schedule 4 to the Act explains that the LSB may refuse an application setting out a proposed change to the regulatory arrangements only if it is satisfied that
 - (a) granting the application would be prejudicial to the regulatory objectives
 - (b) granting the application would be contrary to any provision made by or by virtue of this Act or any other enactment or would result in any of the designation requirements ceasing to be satisfied in relation to the approved regulator
 - (c) granting the application would be contrary to the public interest
 - (d) the alteration would enable the approved regulator to authorise persons to carry on activities which are reserved legal activities in relation to which it is not a relevant approved regulator
 - (e) the alteration would enable the approved regulator to license persons under Part 5 [of the Act] to carry on activities which are reserved legal activities in relation to which it is not a licensing authority, or
 - (f) the alteration has been or is likely to be made otherwise than in accordance with the procedures (whether statutory or otherwise) which apply in relation to the making of the alteration.
3. The designation requirements referred to in paragraph 2(b) above are set out in paragraph 25(4) of Schedule 4 to the Act and are
 - (a) a requirement that the approved regulator has appropriate internal governance arrangements in place
 - (b) a requirement that the applicant is competent, and has sufficient resources to perform the role of approved regulator in relation to the reserved legal activities in respect of which it is designated, and
 - (c) the requirements set out in paragraphs 13(2)(c) to (e) of Schedule 4, namely that the regulatory arrangements are appropriate, comply with the requirements in respect of resolution of regulatory conflict (imposed by sections 52 and 54 of the Act) and comply with the requirements in relation to the handling of complaints (imposed by sections 112 and 145 of the Act).
4. In accordance with paragraphs 20(1) and 23(3) of Schedule 4 to the Act, the LSB has made rules² about the manner and form in which applications to alter regulatory arrangements must be made. Amongst other things, the rules highlight the applicant's obligations under section 28 of the Act to have regard to the Better Regulation Principles. They also require applicants to provide information about each proposed change and details of the consultation undertaken.
5. If the LSB is not satisfied that one or more of the criteria for refusal are met, then it must approve the application in whole, or the parts of it that can be approved.

² Rules for Rule Change Applications – Version 2 (November 2010)

Annex 1: Tracked Alterations

SRA Authorisation Rules for Legal Services Bodies and Licensable Bodies (2011)

Part 3: Conditions of Authorisation

Rule 8.6: Management and control

8.6 Management and control

(a) An *authorised body* must ensure that:

- (i) any *manager* or *owner* of the *authorised body*; or
- (ii) any manager of a *body corporate* which is a manager ~~or owner~~ of the authorised body;

has been approved by the SRA under Part 4

Part 4: Approval of managers, owners and compliance managers

Rule 13: Application for approval

Rule 13.2

13.2 The SRA will deem a *person* to be approved as suitable to be a *manager* or *owner* of an *authorised body* under this Part if:

(a) that *person* is:

- (i) a *solicitor* who holds a current practising certificate;
- (ii) an *authorised body*;
- (iii) an *REL*; or
- (iv) an *RFL*;

(b) there is no condition on the *person's* practising certificate, registration or *authorisation* as appropriate, preventing or restricting them from being a *manager*, *owner* or *interest holder* of an *authorised body* or being a *sole practitioner*;

(c) the SRA is notified on the *prescribed form* ~~at least seven days~~ in advance of the *person* becoming a *manager* or *owner* of the *authorised body*; and

(d) the SRA has not ~~previously~~ withdrawn its approval of that *person* to be a *manager* or *owner* under Rule 17.

New Rule 13.3

13.3 The SRA will deem a *person* to be approved as suitable to be a *compliance officer* of an *authorised body* under this Part if:

(a) that *person* is an individual who is a *sole practitioner* or a *lawyer* who is a *manager* of the *authorised body*;

(b) the *authorised body* has an annual turnover of no more than £600,000;

(c) the SRA is notified of the appointment of the *person* as a *compliance officer* on the *prescribed form*, correctly completed, in advance of the appointment commencing;

(d) that *person* is not subject to a regulatory investigation or finding, including a *discipline investigation* of which they have received notice, a *disciplinary decision* or a *SRA finding*, or an application to or a finding of the *Tribunal*, or any equivalent investigation or finding of another regulatory body;

(e) notwithstanding the generality of sub paragraph (d), the SRA has not previously refused or withdrawn its approval of that *person* to be a *compliance officer* under Rule 17; and

(f) the *person* is not a *compliance officer* of any other *authorised body*.

Rule 14: Approval process and production of information or documentation

Rule 14.3

~~14.3 The *candidate* must declare in the application that the information supplied about them is correct and complete.~~

Rule 14.4

14.4 The *SRA*'s decision to approve or refuse approval must be notified in writing to the *applicant body* or *authorised body* as appropriate, ~~and separately to the *candidate*~~, as soon as possible.

Rule 14.8

14.8 The *SRA* may at any time require the production of information or documentation from:
(a) a *person* who has been approved as an *owner*, *manager* or *compliance officer* under this Part (including a deemed approval under Rule 13.2 or 13.3);

..

in order to satisfy the *SRA* that the *person* met, meets, or continues to meet the criteria for approval.

Rule 17: Withdrawal of approval

17.1 Where the *SRA* has granted an approval of a *person* to be a *manager*, *owner* or *compliance officer* of a body (including a deemed approval under Rule 13.2 or Rule 13.3), it may subsequently withdraw that approval if:...

Rule 18: Temporary emergency approvals for compliance officers

18.1 If an *authorised body* ceases to have a *COLP* or *COFA* whose designation has been approved by the *SRA* (including a deemed approval under Rule 13.3), the *authorised body* must immediately and in any event within seven days:...

SRA Practising Regulations 2011

Part 1: Applications, conditions and appeals

Regulation 3: Application following certain events

3.1 Regulation 3 applies to an initial application for a practising certificate, an application for replacement of a practising certificate, an initial application for registration in the *register of European lawyers* and an application for renewal of registration in the *register of European lawyers*, in any of the following circumstances, subject to exceptions set out in 3.3 below, relating for example to a previously declared event.

(a) ..

(k) The applicant:

(i) has been adjudged bankrupt and discharged;

(ii) has entered into an individual voluntary arrangement or a partnership voluntary arrangement under the Insolvency Act 1986;

(iii) has at any time during the last 36 months of trading of a recognised body, a licensed body or an authorised non-SRA firm which **has been the subject of a winding up order, an administration order or administrative receivership, or** has entered into a voluntary arrangement under the Insolvency Act 1986, **or has been voluntarily wound up in circumstances of insolvency**, been a manager of that recognised body, licensed body or authorised non-SRA firm;

(iv) has at any time during the last 36 months of trading of a company or of an LLP which has been the subject of a winding up order, an administration order or administrative receivership; or has entered into a voluntary arrangement under the Insolvency Act 1986; or has been voluntarily wound up in circumstances of insolvency, been a director of that company or a member of that LLP.

SRA Code of Conduct 2011

1st section: You and your client Chapter 2: Equality and Diversity Outcomes

You must achieve these outcomes:

O(2.1) you do not discriminate unlawfully, or victimise or harass anyone, in the course of your professional dealings;

O(2.2) you provide services to *clients* in a way that respects diversity;

O(2.3) you make reasonable adjustments to ensure that disabled *clients*, *employees* or *managers* are not placed at a substantial disadvantage compared to those who are not disabled, and you do not pass on the costs of these adjustments to these disabled *clients*, *employees* or *managers*;

O(2.4) your approach to recruitment and employment encourages equality of opportunity and respect for diversity;

O(2.5) *complaints* of discrimination are dealt with promptly, fairly, openly, and effectively; and

O(2.6) you have appropriate arrangements in place to ensure that you monitor, report and, where appropriate, publish workforce diversity data.

Note: For more information on collecting, reporting and publishing diversity data, including compliance with data protection legislation, please see guidance.

Indicative behaviours

Acting in the following way(s) may tend to show that you have achieved these outcomes and therefore complied with the *Principles*:

IB(2.1) having a written equality and diversity policy (which may be contained within one or more documents, including one or more other policy documents, as appropriate) which is appropriate to the size and nature of the *firm* and includes the following features:

(a) a commitment to the principles of equality and diversity and legislative requirements;

(b) a requirement that all employees and managers comply with the outcomes;

(c) provisions to encompass your recruitment and interview processes;

(d) details of how the firm will implement, monitor, evaluate and update the policy;

(e) details of how the firm will ensure equality in relation to the treatment of employees, managers, clients and third parties instructed in connection with client matters;

(f) details of how complaints and disciplinary issues are to be dealt with; and

(g) details of the firm's arrangements for workforce diversity monitoring, and

(h) details of how the firm will communicate the policy to employees, managers and clients;

IB(2.2)...

SRA Training Regulations 2014 - Qualification and Provider Regulations

Part 2: Education and training requirements

2.1 We will admit you as a *solicitor* if:

(a) you have completed

i the *academic stage* and *vocational stage*; or

ii. an apprenticeship;

~~(b) you have completed the vocational stage;~~

(c) you have complied with the *SRA Admission Regulations*; and

(d) we are satisfied as to your *character and suitability* to be a *solicitor* in accordance with Part 1 of the *SRA Suitability Test*.

2.2 We may admit you as a *solicitor* if you have completed all or any part of 2.1(a)(i) by equivalent means.

2.3 Where 2.2 applies *you* must apply to *us* in writing in the *prescribed form* and support *your* application with such evidence as *we* consider necessary.

2.4 If *you* are subject to the *QLTSR* those regulations apply to *your* admission as a *solicitor* and *you* are not subject to these regulations.

2.5 *You will have completed an apprenticeship for the purposes of 2.1(a)(ii) if you have met the requirements set out in the assessment plan for the Apprenticeship Standard for a Solicitor (England) or set out in the Apprenticeship Framework specified in the Level 7 Higher Apprenticeship in Legal Practice (Wales), including successfully passing an assessment which is either conducted by the SRA or approved by the SRA as suitable for the purpose.*

Regulation 5: Recognised training

5.1 Subject to regulation 2.2, **and unless you fall within regulation 2.1(a)(ii) or 2.2**, you must complete a period of recognised training before we admit you as a solicitor.

SRA Handbook Glossary 2012

Apprenticeship Standard for a Solicitor (England) means the standard approved by the Department for Business, Innovation and Skills in November 2014 and as varied from time to time.

Level 7 Higher Apprenticeship in Legal Practice (Wales) means the standard approved by the Welsh Government in March 2015 and as varied from time