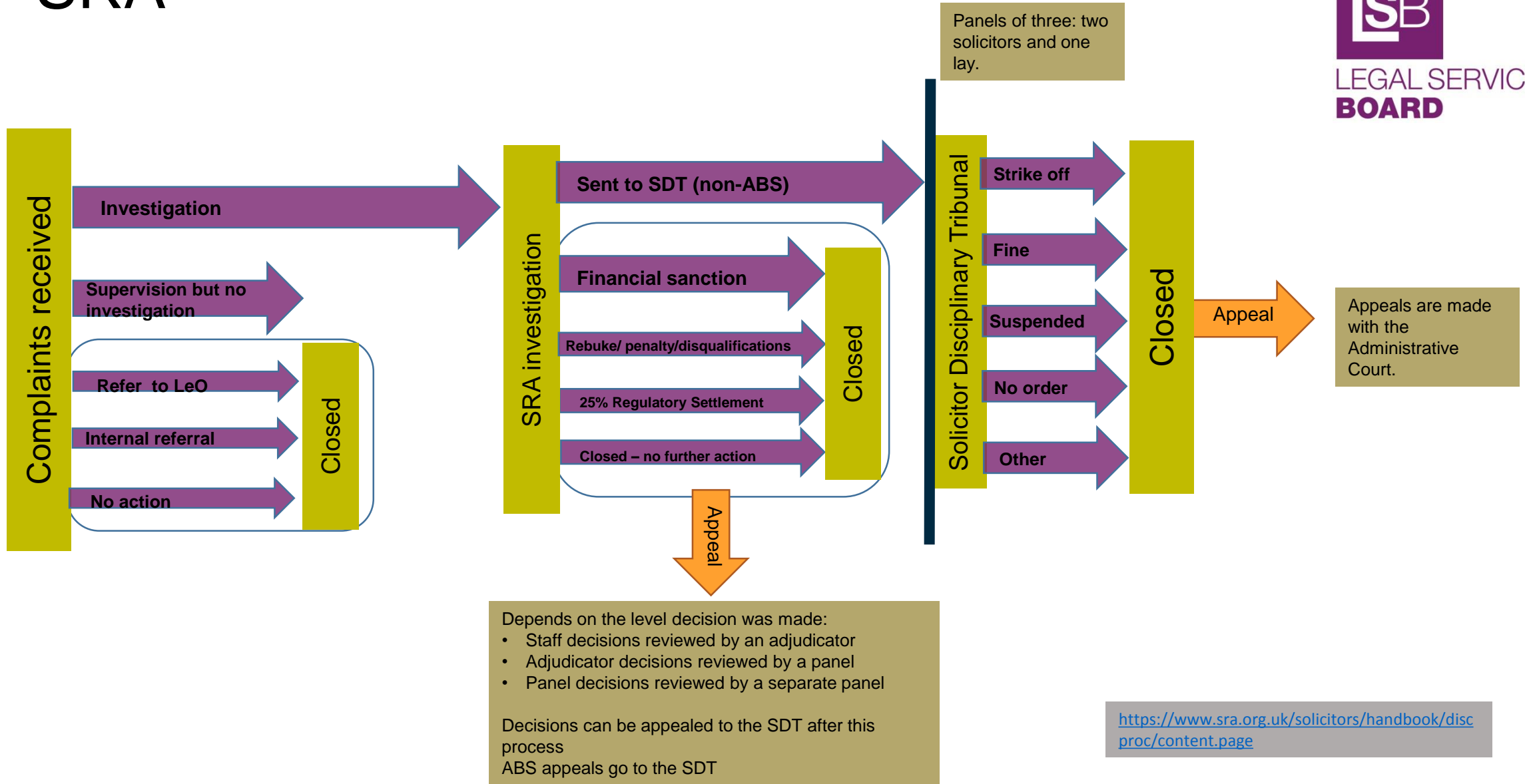


Annex A

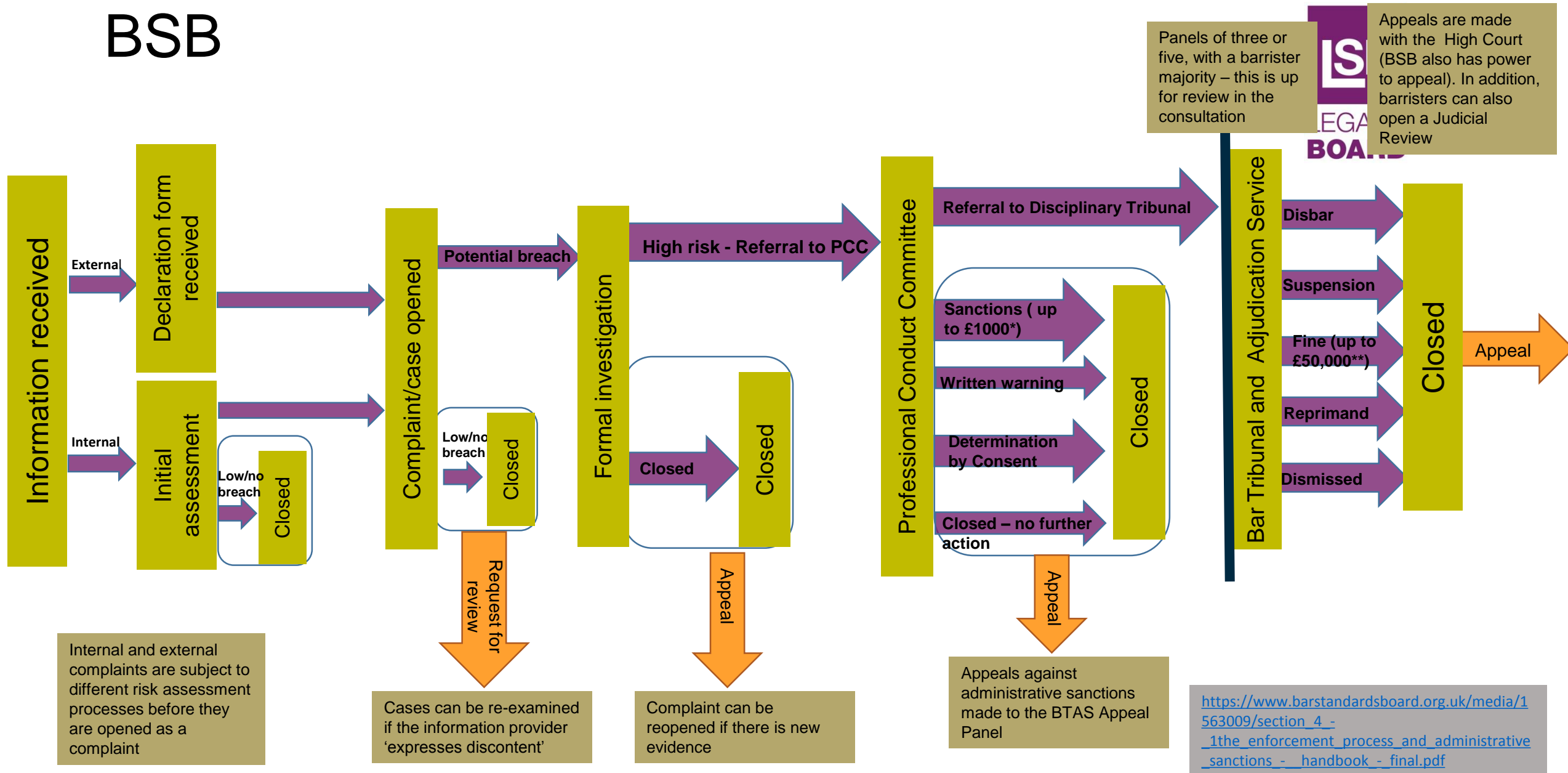
Enforcement processes by regulator

Note: language and terminology used as stated by the regulator

SRA



BSB



Internal and external complaints are subject to different risk assessment processes before they are opened as a complaint

Cases can be re-examined if the information provider 'expresses discontent'

Complaint can be reopened if there is new evidence

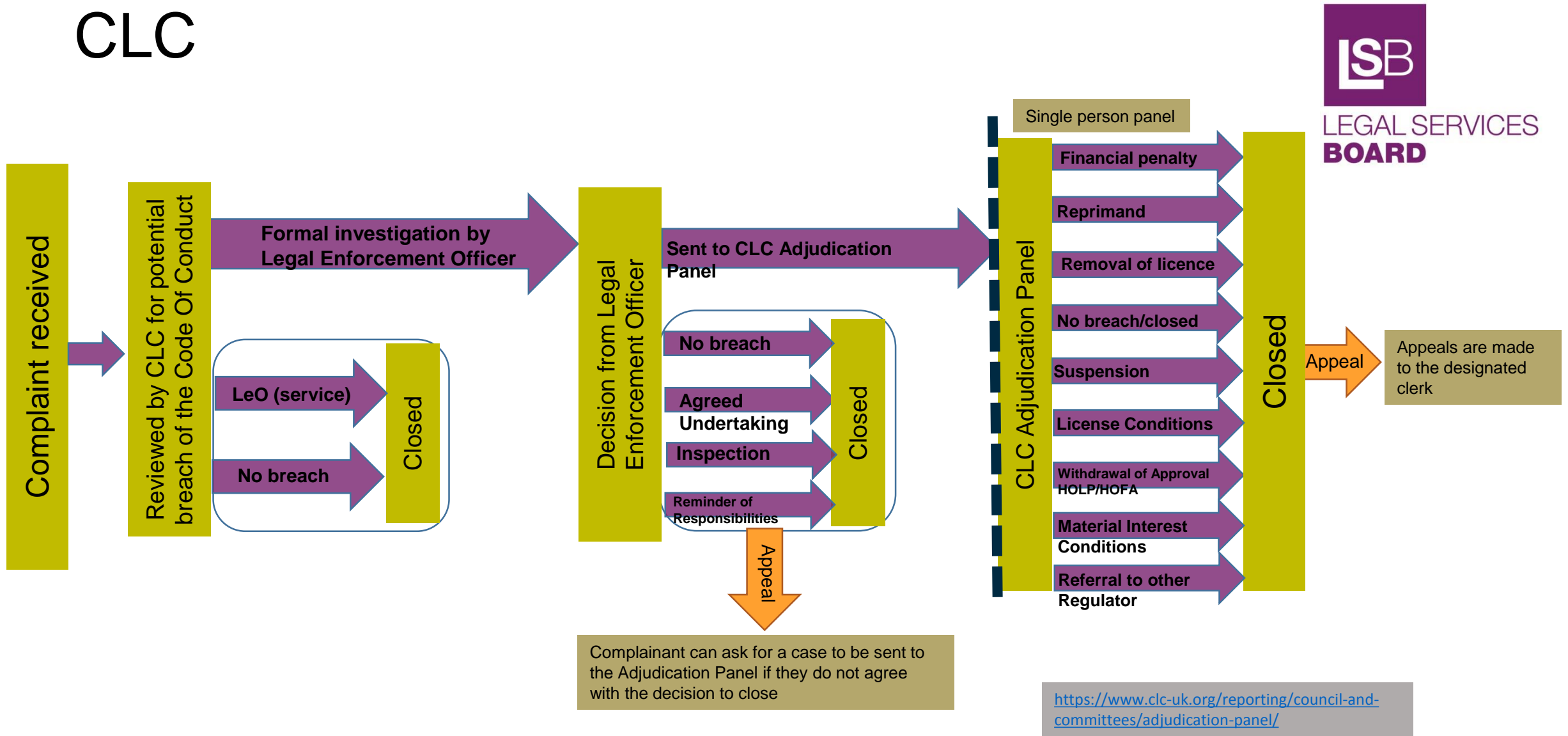
Appeals against administrative sanctions made to the BTAS Appeal Panel

https://www.barstandardsboard.org.uk/media/1563009/section_4_-_the_enforcement_process_and_administrative_sanctions_-_handbook_-_final.pdf

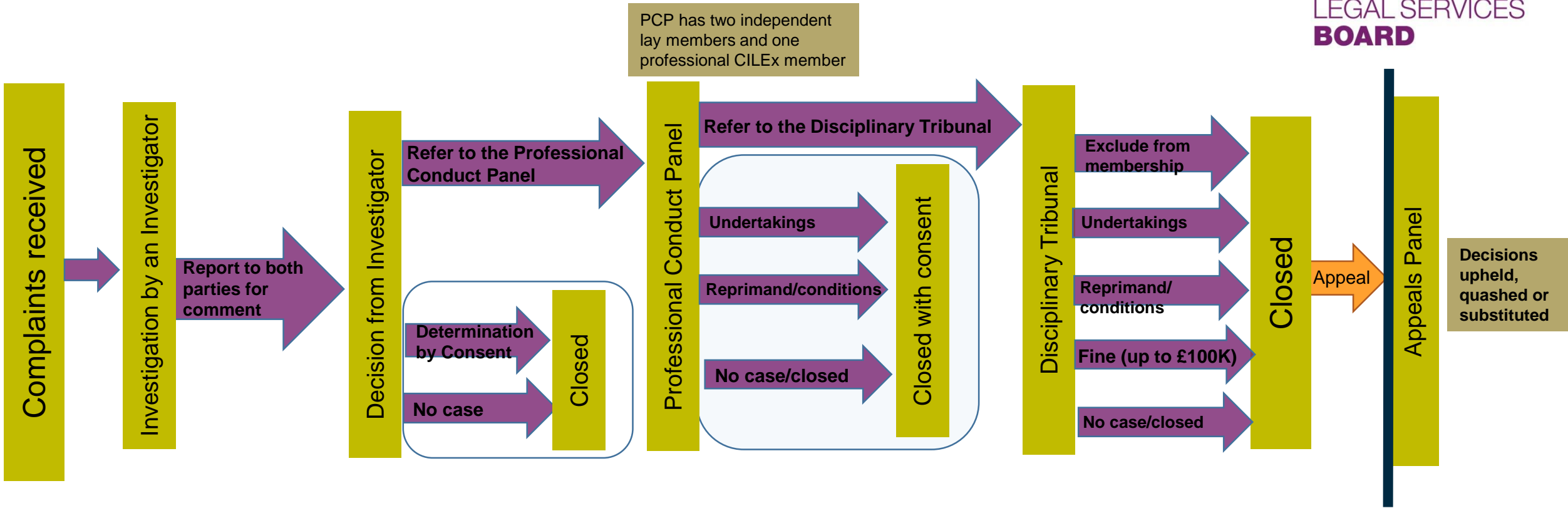
Panels of three or five, with a barrister majority – this is up for review in the consultation

Appeals are made with the High Court (BSB also has power to appeal). In addition, barristers can also open a Judicial Review

CLC



CILEx

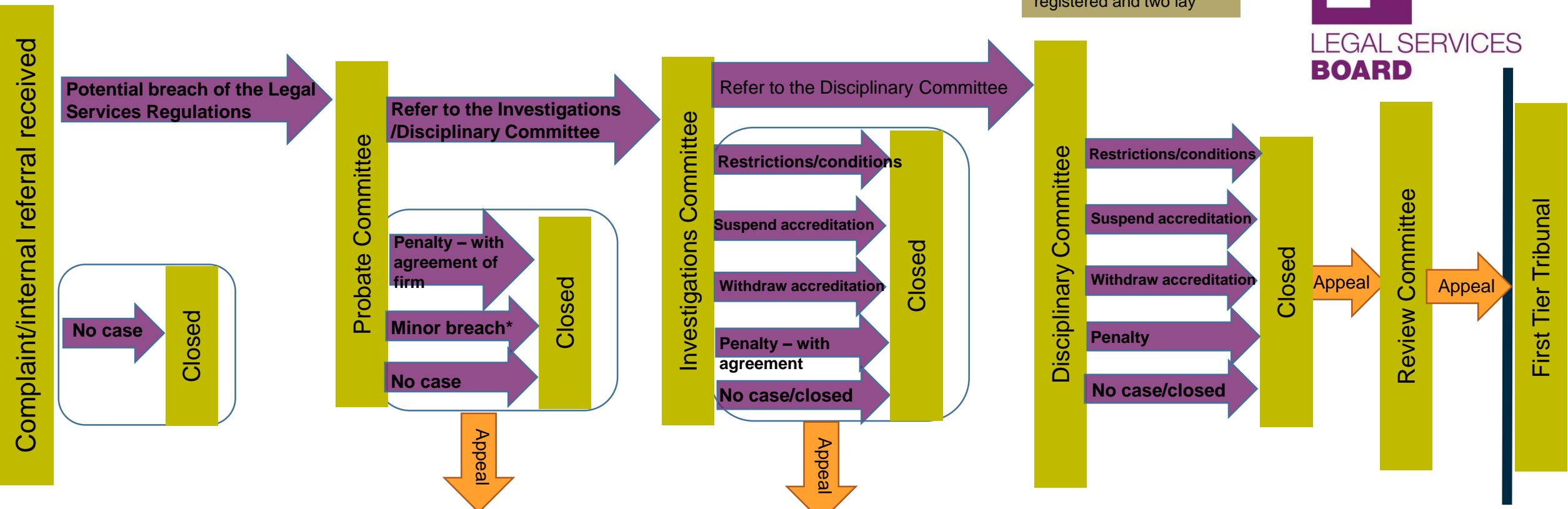


<https://www.cilexregulation.org.uk/conduct-and-complaints/complaints>

ICAEW



Three member panel, one registered and two lay



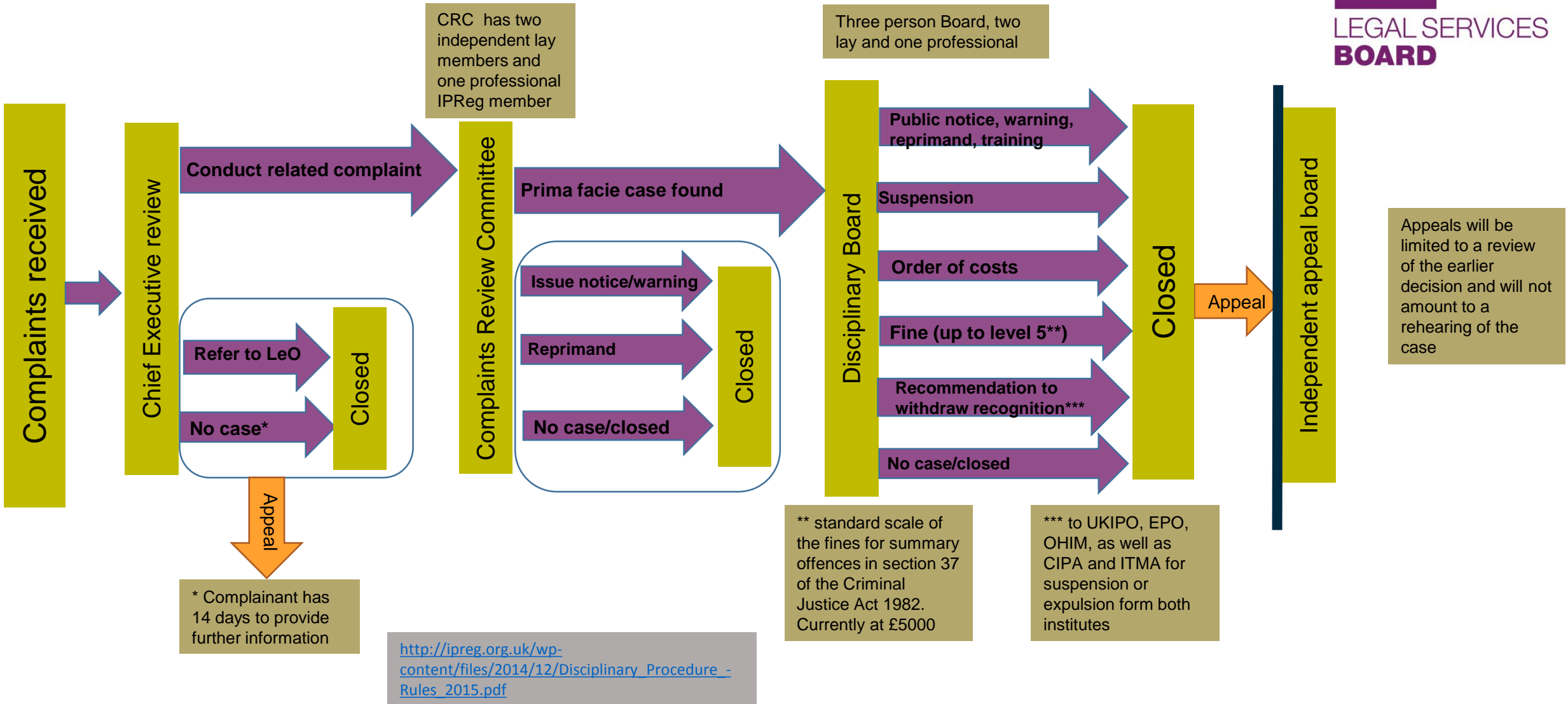
* Not deemed serious enough to warrant action under disciplinary by-laws

Appeals can be made to the Review Committee, then the external First Tier Tribunal

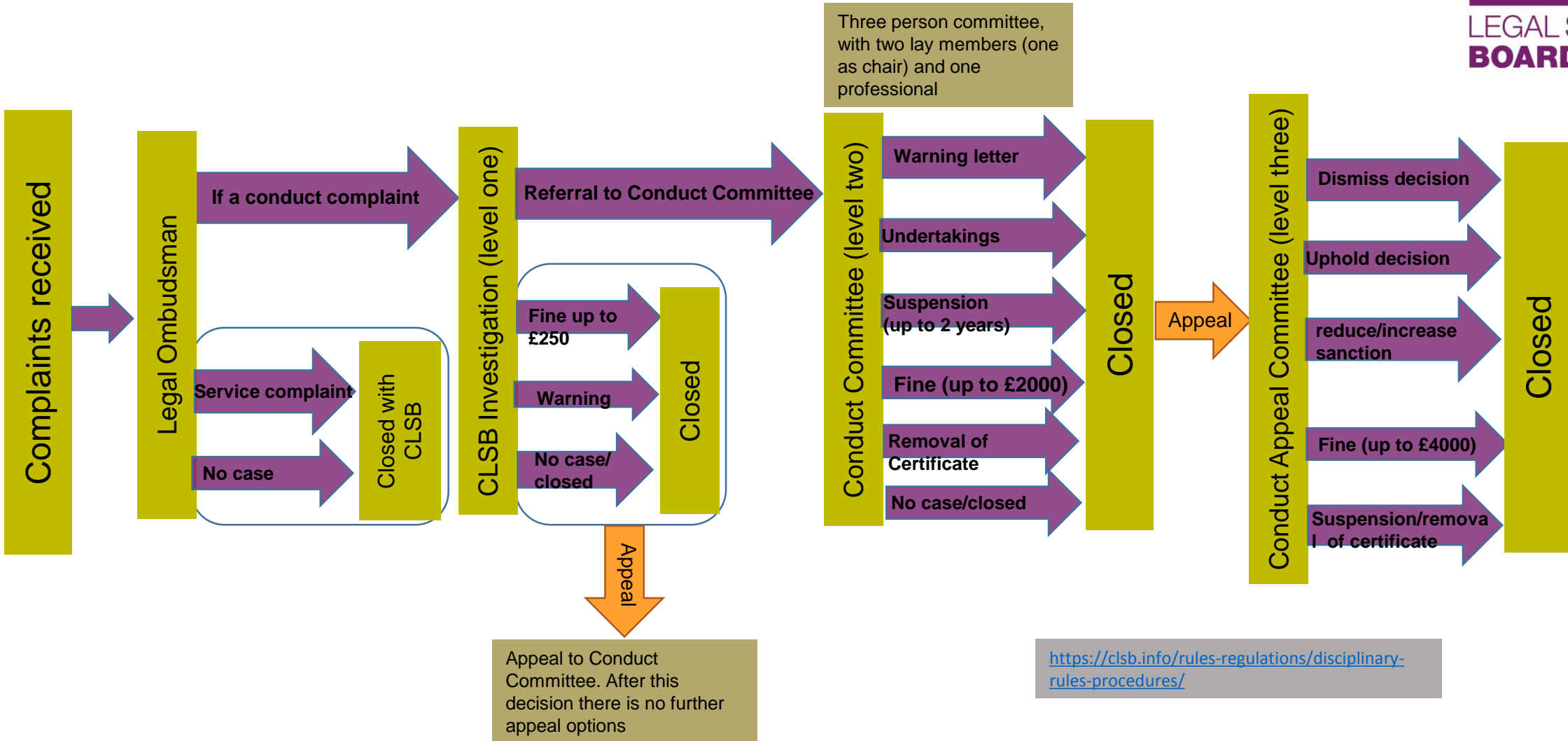
Appeals can be made to the Review Committee, then the external First Tier Tribunal

<https://www.icaew.com/en/about-icaew/act-in-the-public-interest/complaints-process/complaint-process-and-regulations>

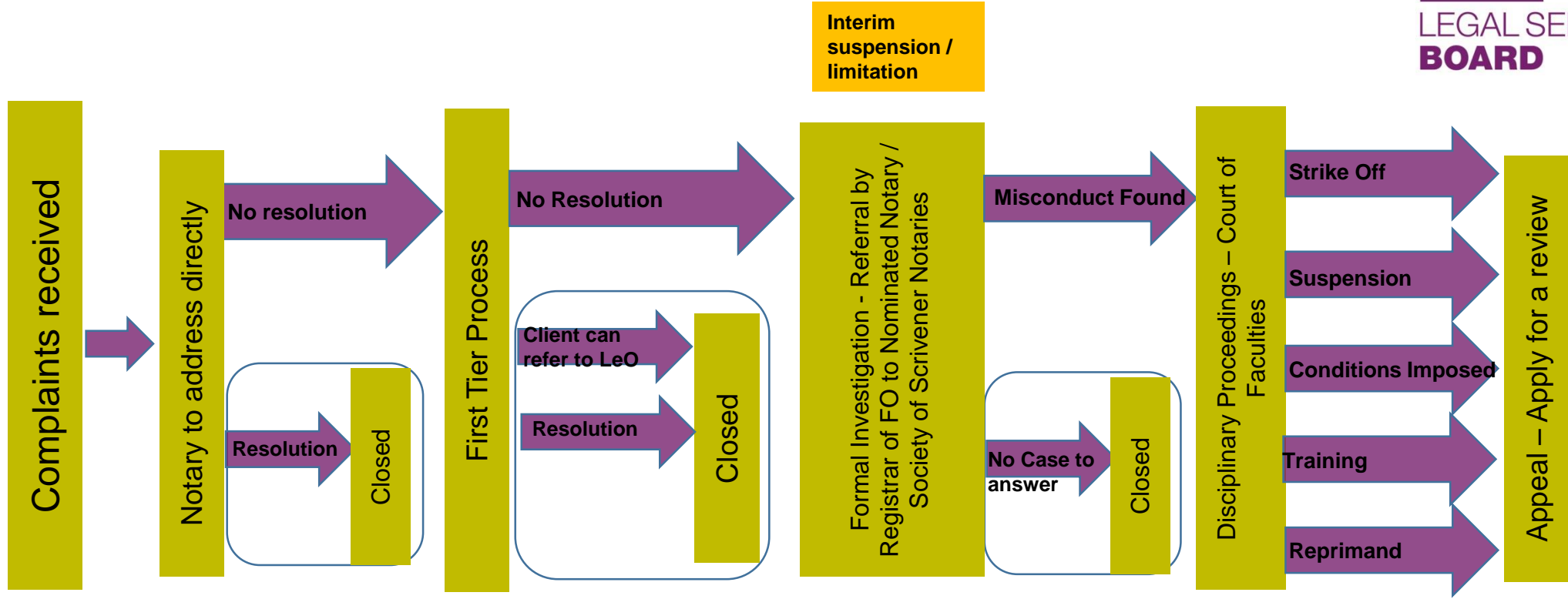
IPReg



CLSB



MoF



<http://www.facultyoffice.org.uk/notary/potential-or-existing-client-of-a-notary/complaints-procedure/>