

APPENDIX 2 – Regulatory Decisions July to September 2010 and Forward Look 2010 October to December 2010

Applications to change regulatory arrangements			
Applications		Key points	Forward look for October to December
Open at start	2	<p>Brought forward applications completed</p> <ul style="list-style-type: none"> SRA Fee structure SRA Code of Conduct Rule 4 (confidentiality and disclosure) - <i>exempted</i> <p>Applications received and completed</p> <ul style="list-style-type: none"> SRA Solicitors Indemnity Assurance Rules BSB Bar Training Regulations (closed as withdrawn by BSB) MOF Notaries (Continuing Professional Education) Regulations 2010 CLC Fee Structure and Compensation Fund Contribution <p>Exemptions</p> <ul style="list-style-type: none"> BSB Hearings before the Visitors Rules and Complaints Rules SRA determination of Compensation Fund Rules 2010 BSB alterations to rules 204 (supply of legal services to the public) and 508 (providing legal services under a contract for services with a recognised body) SRA QLTS Day 1 Outcomes MOF Notaries (Supervision) Regulation 2010 General: alterations related to the commencement of the Legal Ombudsman and achieving compliance with the signposting rule <p>Other</p> <ul style="list-style-type: none"> No applications pending at the end of the period All KPIs have been met Completed and published additional guidance on applications for changes to Regulatory Arrangements 	<p>Expected Applications/Exemptions</p> <ul style="list-style-type: none"> BSB (5): English Language Test; Code of Conduct Acceptance and Return of Instructions; contractual terms for accepting instructions; fee structure; Equality and Diversity Code Revisions SRA (2): character and suitability guidelines; LPC accreditation of prior learning ILEX (3): Amendments to delegation rules; amendments to advocacy code; experience criteria for Fellows CLC (1): Code of Conduct IPREG (2): Litigators Code of Conduct; Disciplinary Rules ALCD (3): membership structure; code of conduct; complaints MOF (1): Disciplinary (non-compliance with CPE) Rules <p><i>NB: Included in the 17 items listed above are six which had been initially scheduled for June - September</i></p> <p>Other</p> <ul style="list-style-type: none"> Implement process for following-up on future actions noted in Decision Notices Continue discussions with ARs on Forward Plans for 2011 Define process for licensing authority applications
New applications	4		
Completed applications	6		
Open at end	0		
Exemptions	7		
Follow-up actions			
Open at start	17		
New from decision notices	1		
Due and closed	0		
Open at end – overdue	0		
– not yet due	18		
Performance Indicators			
Acknowledged (2 days)	100%		
Published on website (2 days)	100%		
Decision in 28 days	5		
Decision in 90 days	0		
Average time to decision	19		
Other Activity (x= nothing to report; √= action)			
Application to extend RLA	√	<p>PCF Approval</p> <ul style="list-style-type: none"> SRA and CLC Practice Certificate Fees approved Application from ILEX, IPREG and MOF being assessed 	<p>Application to extend RLA</p> <ul style="list-style-type: none"> Continue with assessment of the ILEX applications to extend reserved legal activities <p>PCF approval</p> <ul style="list-style-type: none"> Complete consideration of PCF applications from ILEX, IPREG, MOF Consider applications from BSB and ALCD
PCF approval	√		
New AR application	X		
New LA application	X		
New RLA	X		

Key: PCF = Practising Certificate Fee; AR = Approved Regulator; RLA = reserved legal activity

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