

## Regulatory Decisions October to December 2010 and Forward Look January to March 2011

| Applications to change regulatory arrangements          |         |  |  |
|---|---------|--|--|
| Applications  |         | Key points   | Forward look for January to March  |
| Open at start   | 0       | <p><b>Applications received and completed</b></p> <ul style="list-style-type: none"> <li>ILEX Rights of Audience Certification Rules</li> </ul> <p><b>Applications received and to be determined</b></p> <ul style="list-style-type: none"> <li>MOF Practice Rules 2009 (complaints) and Conduct and Discipline Rules</li> </ul> <p><b>Exemptions</b></p> <ul style="list-style-type: none"> <li>BSB Practising Certificate Regulations</li> <li>SRA Publications and Reconsiderations Policies</li> <li>ILEX Continuing Professional Development Regulations 2011</li> </ul> <p><b>Other</b></p> <ul style="list-style-type: none"> <li>All KPIs have been met</li> <li>Detailed analysis of the SRA Revised Code of Conduct/Handbook and proposed LA application</li> <li>Initial review of CLC revised Code of Conduct and related rules and guidance</li> <li>Implemented process for following-up on future actions noted in Decision Notices</li> <li>Defined process for LA applications – testing on draft SRA LA application</li> </ul> | <p><b>Expected Applications/Exemptions</b></p> <ul style="list-style-type: none"> <li>BSB (1): English Language Test; <i>awaiting further information from the BSB on their plans for 2011</i></li> <li>SRA (3): LPC accreditation of prior learning; LA application; revised Code of Conduct and Handbook</li> <li>ILEX (3): Amendments to delegation rules; experience criteria for Fellows</li> <li>CLC (4): Application to be an LA; application to extend RLAs; revised Code of Conduct; revised Adjudication Rules</li> <li>IPREG (3): Litigators Code of Conduct; Disciplinary Rules; Exam and Admission Rules</li> <li>ALCD (3): membership structure; code of conduct; complaints</li> <li>MOF (1): Disciplinary (non-compliance with Continuing Professional Education) Rules</li> </ul> |
| New applications  | 2       |  |  |
| Completed applications                                  | 1       |  |  |
| Open at end   | 1       |  |  |
| Exemptions  | 3       |  |  |
| <b>Follow-up actions</b>                                |         |  |  |
| Open at start   | 18      |  |  |
| New from decision notices                               | 1       |  |  |
| Due and closed  | 0       |  |  |
| Open at end – overdue<br>– not yet due                  | 0<br>19 |  |  |
| <b>Performance Indicators</b>                           |         |  |  |
| Acknowledged (2 days)                                   | 100%    |  |  |
| Published on website (2 days)                           | 100%    |  |  |
| Decision in 28 days                                     | 0       |  |  |
| Decision in 90 days                                     | 1       |  |  |
| Average time to decision                                | 31      |  |  |
| <b>Other Activity</b> (x= nothing to report; √= action) |         |  |  |
| Application to extend RLA                               | √       | <p><b>PCF Approval</b></p> <ul style="list-style-type: none"> <li>Applications from ILEX, IPReg, MoF, BSB and ALCD (CLSB) approved</li> </ul> <p><b>Applications to extend RLAs</b></p> <ul style="list-style-type: none"> <li>Continued detailed analysis of the 3 designation applications from ILEX</li> </ul>  | <p><b>Application to extend RLA</b></p> <ul style="list-style-type: none"> <li>Continue with assessment of the ILEX applications to extend RLAs</li> </ul> <p><b>New AR</b></p> <ul style="list-style-type: none"> <li>The Institute of Chartered Accountants in England and Wales have indicated that they intend to submit an application to become an AR; we expect to start discussions with them on this early in 2011</li> </ul>   |
| PCF approval  | √       |  |  |
| New AR application                                      | √       |  |  |
| New LA application                                      | X       |  |  |
| New RLA   | X       |  |  |

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

Prepared by Dawn Reid

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