

### Appendix 3 - Statutory Decisions July to September 2017 and Forward Look for October-December 2017

Applications to change regulatory arrangements			
Applications		Key points	Forward look for October-December 2017
Open at start	0	<p><b>Applications completed (7) *Approved by Exemption Direction</b></p> <ul style="list-style-type: none"> <li>Solicitors Regulation Authority (SRA) Professional Indemnity Insurance (PII) Switching Regulators</li> <li>SRA Compensation Fund Contributions</li> <li>Chartered Institute for Legal Executives (CILEx) Regulation Changes to Compensation Fund Arrangements</li> <li>CILEx Regulation PII Minimum wording*</li> <li>Bar Standards Board (BSB) Parental Leave</li> <li>Master of the Faculties (MoF) Conduct and Discipline Rules – Adoption of Civil Standard of Proof</li> <li>CILEx Regulation Continuing Professional Development Rules</li> </ul> <p><b>Applications pending (1)</b></p> <ul style="list-style-type: none"> <li>CILEx Regulation Investigations, Discipline and Appeals Rules.</li> </ul> <p><b>Exemptions (5)</b></p> <ul style="list-style-type: none"> <li>ICAEW PII Review of dispensation decisions</li> <li>CILEx Regulation Associate Prosecutor - Rights of Audience and Litigation Certification Rules</li> <li>Council for Licensed Conveyancers (CLC) Compensation Fund contributions</li> <li>BSB Notification of misconduct</li> <li>CILEx Regulation – Compensation Fund Contributions</li> </ul>	<p><b>Expected Applications/Exemptions (6)</b></p> <ul style="list-style-type: none"> <li>CILEx Regulation (1) Complete assessment of rule change application from CILEx Regulation on Investigations, Discipline and Appeals Rules.</li> <li>SRA (1) Solicitors Qualification Exam</li> <li>BSB (2) new reporting requirements for barristers with regards to Authorisation to Practise; Amendments to rules on in-house barristers</li> <li>Council for Licensed Conveyancers (2) Accounts Code; and Practise Approval Process</li> </ul>
New applications	8		
Completed applications	7		
Open at end	1		
Exemptions	5		
Performance Indicators			
Applications - Acknowledged (2 days)	100%		
Published on website (2 days)	86%		
Decision in 28 days	5		
Decision in 90 days	2		
Decisions over 90 days	0		
Average time to decision (days)	33		
<b>Other Activity</b> (x= nothing to report; √= action)			
Application to extend RLA	√	<p><b>Applications for new AR/LA</b></p> <ul style="list-style-type: none"> <li>The Lord Chancellor refused on 20 September 2017 the recommendation from the LSB that the Institute for Chartered Accountants in England and Wales (ICAEW) be designated as an AR/LA for all reserved legal activities (relating to taxation).</li> <li>Application received from CILEx Regulation on 29 August 2017 for the LSB to make a recommendation to the Lord Chancellor that CILEx Regulation become a LA for the reserved legal activities for which it is designated. The LSB has until 28 August 2018 to make a recommendation to the Lord Chancellor. The LSB has commenced the mandatory consultee process and asked for advice from Legal</li> </ul>	<p><b>Applications for new AR/LA</b></p> <ul style="list-style-type: none"> <li>CILEx Regulation LA application. LSCP and CMA have until 21 November to send advice. LSB to write to the Lord Chief Justice for advice.</li> </ul> <p><b>Other</b></p> <ul style="list-style-type: none"> <li>BSB section 69 order. Await decision from the Lord Chancellor.</li> </ul> <p><b>PCF</b></p> <ul style="list-style-type: none"> <li>Costs Lawyer Standards Board received on 18 September 2017 (decision pending)</li> </ul>
New AR application	x		
New LA application	√		
Cancellation of designation	x		
PCF approval	√		
Other	√		

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

Prepared by Paul Greening

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		<p>Services Consumer Panel (LSCP) and the Competition and Markets Authority (CMA).</p> <p><b>PCF approval</b></p> <ul style="list-style-type: none"> <li>• The Law Society/SRA</li> <li>• CLC</li> <li>• MoF</li> <li>• CILEX and CILEx Regulation</li> </ul> <p><b>Other</b></p> <ul style="list-style-type: none"> <li>• The BSB s69 Order – Recommendation made to the Lord Chancellor</li> </ul>	<ul style="list-style-type: none"> <li>• Intellectual Property Regulation Board</li> <li>• Bar Council</li> </ul>
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