



LEGAL SERVICES  
**BOARD**

Legal Services Board  
One Kemble Street  
London  
WC2B 4AN

[www.legalservicesboard.org.uk](http://www.legalservicesboard.org.uk)

## Fol request (Ref: 20180509-01)

Your request for information has been treated as request made under the Freedom of Information Act 2000 to the extent that the information requested is held by the Legal Services Board ("LSB"). The LSB's response to your request is set out below.

***"You have not informed me the specific section/s of the said Act upon which the LSB was established and has been operating. Therefore, please provide me this information."***

Section 2 of the Legal Services Act 2007 establishes the LSB. The Act, and in particular Part 2 and Schedule 1, governs how the LSB operates. The Act is a public document available at: [www.legislation.gov.uk](http://www.legislation.gov.uk)

***"Please also let me know whether the LSB is satisfied that the said Act would suffice for the purposes for which it was enacted."***

We do not hold the information requested.

***"Please provide me with the evidence you have to support your stance that the LSB is 'independent', and clarify the following;  
- Is the LSB sponsored by the Ministry of Justice?"***

The LSB is an executive non-departmental public body sponsored by the Ministry of Justice.

***"-Is the office of the LSB and that of the Government Legal Department/ Service both located at One Kemble Street, London WC2?"***

Yes. The LSB's office is located at this address, along with other organisations including the Government Legal Department.

***"- Are the lawyers working for the LSB employees of the Government Legal Department/Service?"***

No.

***"- Are staff at the LSB (not lawyers) employees of the Ministry of Justice?"***

No.

***“- Do staff at the LSB follow the Civil Service Code?”***

No.

***“I gather that in many personal injury claims that were settled without a Court hearing serious irregularities may have taken place, and is this correct?”***

We do not hold the information requested.

***“Similarly, are you satisfied with the 'Conveyancing Quality Scheme' and how does it sit with the role played by members of the 'Association of Leasehold Enfranchisement Practitioners Limited' (ALEP)?”***

We do not hold the information requested. The LSB is the oversight regulator for the frontline approved regulators of legal services. We do not regulate individuals or firms. You may wish to contact the approved regulators (listed below) directly to request any information they may hold in connection with your request.

***“Is ALEP a regulator and if so, do you oversee their activities? “***

No.

***“Additionally, it is not clear to me whether any of the regulators you oversee have regulatory responsibility over the conduct of the 'Leasehold Advisory Service', 'Leasehold Knowledge Partnership Ltd' and 'Leasehold Knowledge Ltd', and I invite you to clarify the position.”***

The LSB is the oversight regulator for the frontline approved regulators of legal services. They are: the Solicitors Regulation Authority, the Bar Standards Board, CILEx Regulation, the Council for Licensed Conveyancers, the Intellectual Property Regulation Board, the Instituted of Chartered Accountants in England and Wales, and the Association of Chartered Certified Accountants. We do not regulate individuals or firms.

***“With this theme in mind, what are the main deficiencies that have been identified by the LSB over the years relating to every regulator you have overseen and in the legal system in its entirety?”***

The LSB publishes a number of reports, including regulatory performance reports and the LSB’s annual report which sets out its findings and observations, these are publicly available at [www.legalservicesboard.org.uk](http://www.legalservicesboard.org.uk) under the ‘What we do’ and ‘News and publications’ tabs.

***“Is the LSB aware of any legislation that may have been enacted to suppress, cover up or circumvent failures of officialdom?”***

We do not hold the information requested.

***“Do you also oversee the activities of the 'Institute of Chartered Accountants in England and Wales' and if so, please identify the areas in question.”***

The LSB regulates the ICAEW in respect of the reserved legal activity its members provide, namely probate services.

***“Over a period of time I have sent you copy correspondence (it is not clear to me whether you were an eager recipient of these communications) and what are the lessons, if any, you have learnt from the information provided?”***

We have received your correspondence. We do not hold the information requested.

***“You have referred to the 'Office for Legal Complaints' (OLC) but is this an area of supervision within the remit of the LSB? When was the OLC established, and does it deal with 'professional misconduct' against the judiciary?”***

Under the Legal Services Act 2007 the LSB has some oversight of the Office for Legal Complaints, which was established in 2010. The OLC is an independent public sector body in its own right and has its own statutory functions, powers and duties. That Office does not deal with allegations of professional misconduct against the judiciary.

***“Please let me know the approximate number of staff working for the LSB that deal with each regulator, the basic qualification and experience such a staff member must possess, and so on. Please also let me know the approximate number of staff who work for each of the regulators you oversee.”***

As noted in the LSB's latest published annual report, as at 31 March 2017 the LSB had 24 full time employees and 9 part time employees.

A core function of the LSB is to hold to account approved regulators. As such, all of the LSB's staff are involved to varied degrees in dealing with regulators. In practice the LSB allocates members of staff to work on a particular matter concerning one or more regulators in accordance with the level of resource (such as expertise and numbers of staff) required. The qualifications and experience the LSB generally seeks are represented in the attached job descriptions.

Please contact the approved regulators directly for information on the number of staff they each employ.

***“Please clarify whether the Government Legal Department/Service is a regulated entity and if so, who are their regulators?”***

As an oversight regulator we do not regulate government departments. We suggest you contact this government department directly to request information.

***“Are you satisfied that it is lawful for Solicitors to operate under limited liability companies and partnerships?”***

Solicitors can, and do lawfully work in limited liability companies and partnerships.

***“Upon investigating each regulator does the LSB prepare a report and if so, how can this information be accessed?”***

Yes. The LSB’s investigation reports are publicly available on its website at: [www.legalservicesboard.org.uk](http://www.legalservicesboard.org.uk) under the ‘What we do’ tab.

***“Here again you have not provided the details. Please let me know whether the NAO or a Parliamentary Committee has investigated the activities of the LSB and if so, please let me have a copy of their findings.”***

The annual financial statements of the LSB are audited by the National Audit Office, the findings of which are published in the annual report and publicly available at: [www.legalservices.org.uk](http://www.legalservices.org.uk) under the ‘News and publications’ tab.

Please contact the Justice Committee to request information on any findings it may have pertaining to the LSB: [justicecom@parliament.uk](mailto:justicecom@parliament.uk)

***“Does the LSB submit an Annual Report to Parliament?”***

Yes.

If you are dissatisfied with this response to your request for information, you have the right to ask for an internal review / to submit a complaint (see [LSB’s Freedom of information – Complaints procedure](#)).

The reference for your request, which should be quoted in all correspondence, is: 20180509-01.



## Regulatory policy associate

### Background

Ensuring the public, businesses, charities and others have access to legal services they can access and trust is of crucial importance to our economy and society. A well-functioning regulatory framework for legal services is an important ingredient for achieving this goal.

The Legal Services Board is an independent body responsible for overseeing the regulation of lawyers in England and Wales. We regulate nine approved regulators, each of which has responsibility for the day-to-day regulation of different types of lawyers.

Our goal is to modernise and improve the legal services market place by putting the interests of consumers at the heart of the system. This reflects the objectives of the statute that created us - the Legal Services Act 2007.

This is an exciting time to join our organisation as we will shortly embark on a new three year corporate strategy. Our draft strategy has three strands:

- promoting the public interest through ensuring independent, effective and proportionate regulation
- making it easier for all consumers to access the services they need and get redress
- increasing innovation, growth and the diversity of services and providers.

### The role

We are recruiting a **regulatory policy associate** to join our small team.

As a regulatory policy associate, you will work on a range of policy and regulatory projects across our three strategic work streams. For 2018/19, this could include projects on diversity in the legal professions, regulatory independence and enforcement arrangements.

The successful candidate will also be involved in assessing applications from approved regulators to introduce new rules, or to extend the scope of their regulatory remit.

Regulatory policy associates will report to a regulatory policy manager. Our regulatory work is led by the Head of Regulatory Performance and the Head of Research and Development. The Strategy Director provides overall leadership to ensure that we remain focused on our objectives.

### Core responsibilities:

- **Policy:** Contributing to or leading specific reviews of regulatory and policy issues
- **Evidence:** Developing the evidence base to analyse and develop new policy including supporting the management of research
- **Briefing:** Drafting policy papers, reports and briefings for a range of audiences
- **Engagement:** Working with regulators, senior team, board members and external stakeholders to support and develop regulatory and policy work
- **Project Management:** Supporting or leading project management planning and producing associated documentation
- **Regulatory:** Working with approved regulators considering making applications to the LSB and analysing applications against specified criteria for approval. Supporting our work on assessing the performance of approved regulators, developing action plans for improvement and monitoring progress
- **Enforcement:** Supporting enforcement action where appropriate.

## Person specification:

### Experience

It is likely that you will have a background in one or more of:

- Regulation and/or competition
- Public policy
- Consumer policy
- Economics
- Law or the wider legal services market
- Performance measurement
- Compliance management

### Qualities

#### *Essential*

- Ability to identify and deploy relevant evidence to reach sound conclusions
- Ability to drive intellectually complex issues to a firm conclusion with appropriate recommendations
- Excellent drafting skills – able to write complex policy analysis and consultation documents in an accessible manner that can withstand heavy legal scrutiny
- Capable of maintaining strong, robust and influential relationships with approved regulators and other stakeholders
- Strong team player with good interpersonal skills to support engagement at all levels of LSB colleagues
- Able to organise and deliver work in accordance with strict processes and timetable and within legal and regulatory framework
- Strong commitment to equalities and diversity as both a colleague and regulator
- Good organisational and computer skills including use of MS Office suite

#### *Desirable*

- Some understanding of legal services market or regulation would be an advantage

## **Regulatory Policy Manager**

**Please note that you must submit a covering letter demonstrating how you meet the requirements of this role together with your CV or your application will not be considered**

Our regulatory policy managers are responsible for a range of activities including leading and working on large policy projects, reviewing the performance of individual approved regulators, conducting thematic reviews across a range of topics and conducting specific investigations. Each regulatory policy manager reports to a “Head of” who provides guidance and support and close working will be required with the Strategy Director and other senior colleagues.

Regulatory policy managers work across the full spectrum of LSB activities, drawing on their individual strengths and experience to put together the most effective project teams and at the same time providing scope and opportunity for individuals to gain new knowledge and experience.

### **About the LSB**

The LSB oversees the 10 approved regulators of legal services, the Solicitors Disciplinary Tribunal and the Office for Legal Complaints. Our work includes:

- Assessing regulatory performance
- Making statutory decisions (for example about proposed new rules and regulations, practising fees, or applications from regulators to regulate new areas)
- Publishing research findings, best practice recommendations and guidance
- Advocacy and communications

It is an exciting time to join us as we prepare to launch our new corporate strategy for 2018-21. Our draft strategy has three strands:

- Promoting the public interest through ensuring independent, effective and proportionate regulation
- Making it easier for all consumers to access the services they need and get redress
- Increasing innovation, growth and the diversity of services and providers.

### **Core responsibilities**

A regulatory policy manager’s core responsibilities are in the following areas:

#### *Policy development*

- Reviewing ongoing market and government policy developments
- Gathering and assessment of evidence of risks and issues to be addressed
- Helping to devise the annual policy work programme
- Mobilising support and resources – both internal and external – to deliver the work programme
- Developing options to address identified risks and issues
- Advising on and contributing to internal and external research

#### *Reviewing and improving regulator performance*

- Assessing regulators’ activity across a number of areas
- Monitoring regulators’ performance to identify areas for improvement

- Challenging and supporting regulators in developing and delivering standards of regulation that meet the principles of better regulation
- Undertaking specific thematic reviews or investigations
- Leading and contributing to the delivery of LSB's statutory decisions and responsibilities

Whichever type of activity is being undertaken, regulatory policy managers have to be able to:

- Work closely with internal and external stakeholders, particularly the regulators
- Manage projects effectively
  - working within the LSB's project management and planning procedures
  - setting and delivering to challenging (but realistic) timetables
  - identifying the resource needs internally and mobilising external support
  - developing proposals which are consistent with LSB's approach to risk based regulation
- Produce high quality reports and consultation documents
- Influence the regulators through written and oral communications
- Provide support, specialist knowledge and constructive challenge as part of a team
- Lead teams – either as a line manager or a project leader

## **Background**

It is likely that you will have a background in one or more of the following:

- Regulation/and or competition authority
- Economics
- Policy development
- Law or the wider legal services market
- Compliance assurance and enforcement

## **Experience and qualities**

The person that we are looking for will have the following:

- Broad experience of policy development and/or regulation and an ability to apply it to legal services regulation
- Experience of driving intellectually complex issues to a firm, practical conclusion
- Excellent drafting skills – previous experience of writing complex policy analysis and consultation documents in an accessible manner
- Highly developed interpersonal skills to build and maintain complex, sensitive and influential relationships across a wide group of stakeholders
- An ability to define and deliver approaches to intelligence and evidence gathering to support policy development, identifying and deploying relevant evidence
- Strong commitment to equalities and diversity as both a colleague and a regulator
- Good organisational and computer skills, including use of MS Office suite
- Strong team player
- Strong project management skills
- Experience of leadership of teams – either line management or project teams