



LEGAL SERVICES
BOARD

Certificate of compliance with Internal governance rules 2019

On behalf of the ICAEW Regulatory Board I Michael Caplan certify that the obligations are understood and that ICAEW Professional Standards is in compliance with the Internal governance rules 2019 made under Section 30 of the Legal Services Act 2007.

Each rule is initialled to certify compliance.

| | | |
|---------|---|---------|
| Rule 1 | The overarching duty | [MC] |
| Rule 2 | Duty to delegate | [MC] |
| Rule 3 | Provision of assurance to approved regulator | [MC] |
| Rule 4 | Regulatory Autonomy | [MC] |
| Rule 5 | Prohibition on dual roles | [MC] |
| Rule 6 | Individual conduct | [MC] |
| Rule 7 | Governance: lay composition | [MC] |
| Rule 8 | The regulatory board: appointments and terminations | [MC] |
| Rule 9 | Regulatory resources | [MC] |
| Rule 10 | Regulatory body budget | [MC] |
| Rule 11 | Shared services | [MC] |
| Rule 12 | Communication by persons involved in regulation | [MC] |
| Rule 13 | Candour about compliance | [MC] |
| Rule 14 | Disputes and referrals for clarification | [MC] |
| Rule 15 | Guidance | [MC] |
| Rule 16 | Saving provisions | [n/a] |
| Rule 17 | Exemptions | [n/a] |

This certificate is accompanied by an explanation of the actions taken by ICAEW Professional Standards to ensure compliance. (Annex A)

This certificate is accompanied by a copy of the Board minute recording the decision taken to certify compliance. (Annex B)

Signed: 

On behalf of the ICAEW Regulatory Board subject to their final formal sign off on 4 August 2020