

Annex B: Certificate of compliance



Certificate of compliance with Internal governance rules 2019

On behalf of [board of AR or RB] I [insert name of leader of board of AR or RB] certify that the obligations are understood and that [Approved Regulator or Regulatory Body] 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 | [✓] |
| Rule 2 | Duty to delegate | [✓] |
| Rule 3 | Provision of assurance to Approved Regulator | [✓] |
| Rule 4 | Regulatory Autonomy | [✓] |
| Rule 5 | Prohibition on dual roles | [✓] |
| Rule 6 | Individual conduct | [✓] |
| Rule 7 | Governance: lay composition | [✓] |
| Rule 8 | The regulatory board: appointments and terminations | [✓] |
| Rule 9 | Regulatory resources | [✓] |
| Rule 10 | Regulatory body budget | [✓] |
| Rule 11 | Shared services | [✓] |
| Rule 12 | Communication by persons involved in regulation | [✓] |
| Rule 13 | Candour about compliance | [✓] |
| Rule 14 | Disputes and referrals for clarification | [✓] |
| Rule 15 | Guidance | [✓] |
| Rule 16 | Saving provisions | [✓] |
| Rule 17 | Exemptions | [✓] |

This certificate is accompanied by an explanation of the actions taken by [Approved Regulator/Regulatory Body] 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 Board of [Approved Regulator or Regulatory Body]