

Comparison of Reserved Instrument Activities Certification Rules with CILEx Regulation Authorisation rules

Comparison of Reserved Instrument Activities Certification Rules with CILEx Regulation Practitioner Authorisation rules

NOTE: this table maps subsections between the old and new rules. Within subsections, new rules may be renumbered and reordered.

| RIA Rules  | New Rules   | Comments   |
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| <p>DEFINITIONS</p> <p>1. In these Rules, except where otherwise indicated:</p> <p>“Conveyancing Certificate” means: a Conveyancing Practice Rights Certificate identified in these Rules;</p> <p>“Conveyancing Practitioner” means a person who has been granted a right to undertake reserved instrument activities, under the terms of the Act;</p> <p>“Certification Rules” means the reserved instrument activity certification rules;</p> <p>“External Advisor” means a person appointed by CILEx Regulation to carry out the role and function identified for them in these Rules;</p> <p>“Applicant in good standing” means a person in respect of whose conduct there is no complaint outstanding, and against whom there is no disciplinary record which, in the view of CILEx Regulation, affects their suitability to be a Conveyancing Practitioner;</p> <p>“CILEx” means the Chartered Institute of Legal Executives;</p> <p>“Investigation, Disciplinary and Appeals Rules” means the Rules of CILEx which are in place from time to time and which govern the complaints handling and disciplinary procedures of CILEx Regulation;</p> <p>“The Act” means the Legal Services Act 2007; and</p> <p>“The Officer” means a person with responsibility for the Conveyancing Practice Rights Scheme.</p> | <p>DEFINITIONS</p> <p>1. In these Rules, except where otherwise indicated:</p> <p>“Conveyancing Certificate” means: a Conveyancing Certificate identified in these Rules;</p> <p>“External Advisor” means a person appointed by CILEx Regulation to carry out the role and function identified for them in these Rules;</p> <p>“Applicant in good standing” means a person in respect of whose conduct there is no complaint outstanding, and against whom there is no disciplinary record which, in the view of CILEx Regulation, affects their suitability to be a <u>Chartered Legal Executive or CILEx € Practitioner</u>;</p> <p>“CILEx” means the Chartered Institute of Legal Executives;</p> <p>“Enforcement Rules” means the Rules of CILEx Regulation which are in place from time to time and which govern the complaints handling and disciplinary procedures of CILEx Regulation;</p> <p>“The Act” means the Legal Services Act 2007; and</p> <p>“The Officer” means a person with responsibility for the Authorisation Rules .</p> <p><u>“Chartered Legal Executive” means a CILEx member authorised by CILEx Regulation to conduct one or more reserved activities (also known as a Fellow of CILEx);</u></p> <p><u>“CILEx Practitioner” means a person authorised to conduct Probate practice or Conveyancing practice as defined in these rules, but not authorised as a Chartered Legal Executive/Fellow of CILEx;</u></p> <p>“Practice Certificate” means a “Practice Rights Certificate” or a “Litigation Certificate” or an “Advocacy Certificate” identified in these Rules;</p> <p>“Practice Rights Certificate” means a Conveyancing Certificate, Immigration</p> | <p>Definitions deleted are no longer used in the rules.</p> <p>Four new definitions relevant to the amendments made to the rules for probate rights authorisation have been added.</p> |

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|   | Certificate, Probate Certificate, Employment Certificate, Business Certificate or General Certificate identified in these Rules;   |   |
| Words importing the singular include the plural and vice versa.   | <p>NOTES ON THESE RULES</p> <p>2. Reference to the male gender also includes female gender.</p> <p>3. Words importing the singular include the plural and vice versa.</p>  | <p>No change, but rule number added.</p> <p>New rules have an additional note.</p>  |
| <p>DELEGATIONS</p> <p>2. Responsibility for this qualification scheme is delegated by CILEx to CILEx Regulation.</p>  | <p>DELEGATIONS</p> <p>4. Responsibility for this authorisation scheme is delegated to CILEx Regulation by CILEx.</p>   | <p>Text change for consistency. Rule number added.</p>  |
| <p>CONVEYANCING PRACTICE CERTIFICATE</p> <p>3. An applicant in good standing may apply to CILEx Regulation to be granted a Conveyancing Practice Rights Certificate (Conveyancing Certificate). The Conveyancing Certificate will authorise a person to exercised reserved instrument rights.</p> <p>4. The reserved instrument rights exercisable by a person holding a Conveyancing Certificate are to:</p> <p>a) Prepare any instrument of transfer or charge for the purposes of the Land Registration Act 2002;</p> <p>b) Make an application or lodge a document for registration under that Act; c) Prepare any other instrument relating to real or personal estate for the purposes of the law of England and Wales or instrument relating to Court proceedings in England and Wales. Instrument includes a contract for the sale or other disposition of land (except a contract to grant a short lease), but does not include</p> <p>a) A will or other testamentary instrument, b) An agreement not intended to be executed as a Deed, other than a contract that is included by virtue of the preceding provisions of this sub paragraph, c) A letter or Power of Attorney, or d) A transfer of stock containing no trust or limitation of the transfer.</p> | <p>Practice Rights</p> <p>ELIGIBILITY</p> <p>CONVEYANCING CERTIFICATE</p> <p>20. An applicant in good standing who</p> <ul style="list-style-type: none"> <li>• has three years’ general legal experience including conveyancing practice experience in the two years preceding the application, or</li> <li>• is applying for Fellowship and has three years’ general legal experience including conveyancing practice experience in the two years preceding the application,</li> </ul> <p>may apply to CILEx Regulation to be granted a Conveyancing Certificate</p> <p>21. The Conveyancing Certificate will authorise a person to exercise reserved instrument rights. The reserved instrument rights exercisable by a person holding a Conveyancing Certificate are to:</p> <p>a) Prepare any instrument of transfer or charge for the purposes of the Land Registration Act 2002; b) Make an application or lodge a document for registration under that Act; c) Prepare any other instrument relating to real or personal estate for the purposes of the law of England and Wales or instrument relating to Court proceedings in England and Wales.</p> <p>Instrument includes a contract for the sale or other disposition of land (except a contract to grant a short lease), but does not include</p> <p>a) A will or other testamentary instrument, b) An agreement not intended to be executed as a Deed, other than a contract that is</p> | <p>Changes reflect the two routes to award of a Conveyancing Certificate (with or without Fellowship). The requirement for three years’ general legal experience was previously stated in the Practice Handbook. The requirement for two years’ conveyancing experience was in Annex 3 of the Reserved Instrument Activity Certification Rules.</p> |

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| <p>“A short lease” means a lease referred to in Section 54(2) of the Law of Property Act 1925.</p>  | <p>included by virtue of the preceding provisions of this sub paragraph, c) A letter or Power of Attorney, or d) A transfer of stock containing no trust or limitation of the transfer.<br/>                     “A short lease” means a lease referred to in Section 54(2) of the Law of Property Act 1925.</p>  |  |
| <p><b>QUALIFICATION ARRANGEMENTS</b></p> <p>5. Applicants who seek a Conveyancing Certificate must demonstrate that they meet the knowledge, skills and experience criteria in accordance with the knowledge, skills and experience guidelines which appear at Annex 1 and the portfolio guidelines which appear at Annex 2 and the competency framework at Annex 3.</p> <p>6. An application must be made on such form as may be prescribed for the purpose by CILEx Regulation and shall be accompanied by such fees as may be fixed by CILEx Regulation from time to time.</p> | <p><b>APPLICATIONS</b></p> <p>Conveyancing Certificate<br/>                     33. Applicants who seek a Conveyancing Certificate must demonstrate that they meet the knowledge and competence requirements set out at Annex 5 in accordance with the application guidelines set by CILEx Regulation.</p> <p>30. Applicants who seek a Practice Rights Certificate should demonstrate meeting the knowledge and competence requirements by using the documentation prescribed by CILEx Regulation to produce a portfolio of evidence.</p> <p>31. Applicants who seek a Practice Rights Certificate must complete all application forms required by CILEx Regulation and shall be accompanied by such fees as may be fixed by CILEx Regulation from time to time.</p> <p><b>DECISION MAKING</b></p> <p>39. In making any assessment or decision required by these Rules, the Admissions and Licensing Committee shall have regard to the relevant eligibility criteria, application guidelines, and the knowledge and competence requirements.</p> <p><u>41.</u> CILEx Regulation will consider an application for a Practice Rights Certificate to ensure it meets the criteria set out in the relevant eligibility criteria, the application guidelines and the related knowledge and competence requirements.</p> <p><u>43.</u> The portfolios which form part of the application will be sent to an external advisor for assessment. The external</p> | <p>Rules appear in different sections as a result of consolidation.</p> <p>Generic application paragraphs apply to conveyancing certificate applications.</p> <p>References to supplementary annexes have been replaced by reference to the new Education Standards and to new application guidelines to be produced by CILEx Regulation.</p> <p>No material changes to the decision making process, but the text of the rules has been altered to make more consistent.</p> |

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| <p>7. CILEx Regulation will consider the application to ensure it meets the criteria set out in the knowledge, skills and experience guidelines which appear at Annex 1 and the portfolio guidelines and assessment criteria which appear at Annex 2.</p> <p>8. The portfolios which form part of the application will be sent to an external advisor for assessment. The external advisor will assess whether the portfolios meet the knowledge, skills and experience guidelines and the portfolio guidelines and assessment criteria at Annexes 1 and 2.</p> <p>9. Where the external advisor finds that the portfolios are satisfactory and meet the knowledge, skills and experience guidelines and the portfolio guidelines and assessment criteria at Annexes 1 and 2, the CILEx Regulation Officer will consider the application. The Officer will consider whether the applicant may be granted a Conveyancing Certificate. In reaching their decision, the Officer will consider all the information provided by the applicant and may call for further information from any person or source it considers appropriate. Where the Officer has any doubt as to the suitability of the applicant they may request additional information from the applicant and/or refer the application to the Admissions and Licensing Committee for decision.</p> <p>10. Where the external advisor decides that the portfolios do not meet the knowledge, skills and experience guidelines and the</p> | <p>advisor will assess whether the portfolios meet the application guidelines and the relevant knowledge and competence requirements.</p> <p><u>44.</u> Where the external advisor finds that the portfolios are satisfactory, the CILEx Regulation Officer will decide whether the application may be approved. In reaching their decision, the Officer will consider all the information provided by the applicant and may call for further information from any person or source it considers appropriate. Where the Officer has any doubt as to the suitability of the applicant they may request additional information from the applicant and/or refer the application to the Admissions and Licensing Committee for decision.</p> <p><u>45.</u> Where the external advisor decides that the portfolios do not meet the relevant knowledge and competence requirements they will give reasons for their decision. They shall indicate what action the applicant needs to take to provide a satisfactory portfolio. The Officer will inform the applicant of the decision. The applicant may withdraw their application, amend and re-submit their application or make further representation and ask that the full application be referred to the Admissions and Licensing Committee to consider.</p> <p><u>46.</u> The Admissions and Licensing Committee will decide whether or not an application should be approved. In reaching its decision, the Committee will consider all the information provided by the applicant, and may call the applicant for interview or call for further information from any person or source it considers appropriate.</p> <p><u>47.</u> The Admissions and Licensing committee may:</p> <ul style="list-style-type: none"> <li>• Approve the application;</li> <li>• Decide that the applicant does not meet the criteria and indicate which</li> </ul> |          |

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| <p>portfolio guidelines and assessment criteria at Annexes 1 and 2 they will give reasons for their decision. The Officer will inform the applicant of the decision. The applicant may withdraw their application, amend and re-submit their application or make further representation and ask that the full application be referred to the Admissions and Licensing Committee to consider.</p> <p>11. The Admissions and Licensing Committee will decide whether or not an application should be approved. In reaching its decision, the Committee will consider all the information provided by the applicant, and may call the applicant for interview or call for further information from any person or source it considers appropriate.</p> <p>12. The committee may: <input type="checkbox"/> Approve the application; <input type="checkbox"/> Decide that the applicant does not meet the criteria and indicate which of the criteria the applicant does not meet.</p> <p>13. In making any assessment or decision required by these Rules, the Admissions and Licensing Committee shall have regard to the knowledge, skills and experience guidelines and the portfolio guidelines and assessment criteria at Annexes 1 and 2.</p> <p>14. The Officer will notify an applicant of their decision or the decision of the Admissions and Licensing Committee.</p> <p>15. Where the application has been approved, the notification shall include the Conveyancing Certificate.</p> | <p>of the criteria the applicant does not meet.</p> <p>[current 13 is above, new rule 39]</p> <p><b>48.</b> The Officer will notify an applicant of their decision or the decision of the Admissions and Licensing Committee.</p> <p><b>49.</b> Where the application has been approved, the notification shall include the Practice Rights Certificate.</p> <p><b>50.</b> Where the application is unsuccessful, the notification shall set out the Committee’s reasons and any pre-conditions to the consideration of any subsequent application. Where an application is unsuccessful, the applicant may apply for reconsideration in accordance with the Admissions and Licensing Committee Rules.</p> |          |

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| <p>16. Where the application is unsuccessful, the notification shall set out the Committee’s reasons and any pre-conditions to the consideration of any subsequent application. Where an application is unsuccessful, the applicant may apply for reconsideration in accordance with the Admissions and Licensing Committee Rules.</p>   |           |   |
| <p><b>PRACTICE MANAGEMENT AND ACCOUNTS</b></p> <p>17. A Conveyancing Practitioner who seeks to practise in an entity seeking regulation by CILEx Regulation must demonstrate that they meet the knowledge, skills and experience in accounts and practice management in accordance with the knowledge, skills and experience guidelines and portfolio guidelines and the competency frameworks which appear at Annexes 4 and 5. They will not be authorised to be an Approved Manager in an entity until these requirements are met.</p> <p>18. Where an applicant relies upon existing experience they must complete a log in accordance the portfolio guidelines. An applicant who relies upon a qualification as evidence of meeting the competency framework must provide details of that qualification and assessment. CILEx Regulation will consider whether the experience or qualification relied upon demonstrates that the applicant meets the requirements of the competency framework.</p> <p>19. An applicant who does not meet the knowledge, skills and experience requirements for practice management and or accounts must complete qualification courses and</p> |           | <p>Rules deleted as covered by regulatory arrangements for entity regulation.</p> |

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| assessment in those areas which meet the competency frameworks at Annexes 4 and 5.  |   |   |
| <p>ADMISSIONS AND LICENSING COMMITTEE</p> <p>20. The Admissions and Licensing Committee established under the Admissions and Licensing Committee Rules shall be responsible for the reserved Instrument rights qualification scheme.</p>  | <p>38. The Admissions and Licensing Committee established under the Admissions and Licensing Committee Rules shall be responsible for matters relating to these Rules.</p>  | <p>Rule now in the Decision making section. New number and made applicable across the practice areas.</p>   |
| <p>EXTERNAL ADVISORS</p> <p>21. CILEx Regulation shall appoint external advisors to advise CILEx Regulation and the Admissions and Licensing Committee on issues relating to reserved instrument practice rights.</p>   | <p>40. CILEx Regulation shall appoint external advisors to advise CILEx Regulation and the Admissions and Licensing Committee on issues relating to these Rules .</p>   | <p>Rule now in the Decision making section. New number and made applicable across the practice areas.</p>   |
| <p>CONVEYANCING PRACTITIONER</p> <p>22. An applicant who has been awarded a Conveyancing Certificate will be known as a Conveyancing Practitioner.</p>  | <p><u><a href="#">AUTHORISED PERSONS AT CILEX REGULATION</a></u></p> <p>84. An applicant who has been awarded a Conveyancing Certificate will be known as a CILEx <u><a href="#">Practitioner</a></u> (Conveyancing).</p>   | <p>Section heading changed. Rule number changed and rule reflects change in title arising from new Education Standards.</p>   |
| <p>CONTINUING PROFESSIONAL DEVELOPMENT (CPD)</p> <p>23. Conveyancing Practitioners will be required to undertake Continuing Professional Development (CPD) in accordance with the CPD Regulations issued by CILEx Regulation from time to time applicable to Chartered Legal Executives.</p> <p>24. Where a Conveyancing Practitioner has failed to undertake CPD which meets the CPD Regulations or fails to provide a record of such CPD, the Officer will refer the matter to the Admissions and Licensing Committee. The Admissions and Licensing Committee will consider whether the Conveyancing Practitioner</p> | <p>CONTINUING PROFESSIONAL DEVELOPMENT</p> <p><u><a href="#">104. Chartered Legal Executives and CILEx Practitioners</a></u> will be required to undertake Continuing Professional Development (CPD) in accordance with the CPD Regulations issued by CILEx Regulation from time to time.</p> <p><u><a href="#">1057. Where a Chartered Legal Executive or CILEx Practitioner's Certificate</a></u> has been withdrawn for 12 months or more, on the basis that they have not met their CPD requirements, they will be required</p> | <p>The CPD rules have been consolidated for all practice areas.</p> <p>Three rules have been deleted as they repeat, unnecessarily the CPD regulations that the current rules already refer to.</p> |

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| <p>should retain their Conveyancing Certificate.</p> <p>25. The Conveyancing Practitioner will have the opportunity to make written representations to the Committee and a right to be heard by the Committee.</p> <p>26. The Committee may decide to:</p> <ul style="list-style-type: none"> <li>• Grant an extension of up to 3 months for the Conveyancing Practitioner to meet their outstanding CPD requirement. The Conveyancing Practitioner will still be required to meet their current CPD requirements in the normal way; or</li> <li>• Withdraw the Conveyancing Practice Certificate.</li> </ul> <p>27. Where a Conveyancing Practitioner’s Certificate has been withdrawn for 12 months or more, on the basis that they have not met their CPD requirements, they will be required to make a fresh application for a Conveyancing Certificate in accordance with the Rules.</p> | <p>to make a fresh application for a Practice Certificate in accordance with the Rules.</p>  |  |
| <p>DISCIPLINARY PROCEDURES AND CODE OF CONDUCT</p> <p>28. Conveyancing Practitioners will be required to abide by the Code of Conduct of CILEx for the time being in force. They will also be bound by the associated regulatory arrangements in force from time to time.</p> <p>29. Where a complaint is made, or an issue is brought to the attention of CILEx Regulation, regarding the conduct of a Conveyancing Practitioner, that matter will be dealt with in accordance with CILEx’s Investigation, Disciplinary and Appeals Rules. Where a finding, order or decision is made</p>  | <p>DISCIPLINARY PROCEDURES AND CODE OF CONDUCT</p> <p><u>1068. Chartered Legal Executives and CILEx</u> Practitioners will be required to abide by the Code of Conduct of CILEx for the time being in force. They will also be bound by the associated regulatory arrangements in force from time to time.</p> <p><u>1079.</u> Where a complaint is made, or an issue is brought to the attention of CILEx Regulation, regarding the conduct of a <u>Chartered Legal Executive or CILEx</u> Practitioner, that matter will be dealt with in accordance with the CILEx Regulation Enforcement Rules.</p> <p><u>108.</u> Where a finding, order or decision is made against a <u>Chartered Legal Executive</u></p> | <p>The Disciplinary Rules have been consolidated for all practice areas. Minor text changes for consistency across all practice areas.</p> |



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| <p>against a Conveyancing Practitioner, that finding, order or decision will be referred to the Admissions and Licensing Committee. The Admissions and Licensing Committee will decide whether the Conveyancing Practitioner remains a fit and proper person to hold a Conveyancing Certificate. The Admissions and Licensing Committee must give reasons for its decision.</p> <p>30. Rule 29 shall not apply where an order is made excluding a Conveyancing Practitioner from registration of CILEx Regulation or membership of CILEx. In such a case the Conveyancing Practitioner's Certificate shall be invalid from the date the exclusion from membership or registration takes effect.</p> <p>31. Where the Admissions and Licensing Committee decides that the Conveyancing Practitioner is no longer a fit and proper person to hold a Conveyancing Practice Certificate or their certificate is invalid in accordance with Rule 30, they must return their Certificate to CILEx Regulation within 28 days of being notified of the decision. Failure to do so will constitute a disciplinary offence. The Conveyancing Practitioner may not exercise any Conveyancing Practice rights granted to them under their certificate after they have been notified of the decision.</p> <p>32. Notwithstanding the Admissions and Licensing Committee Rules an appeal against the decision of the Admissions and Licensing Committee that a Conveyancing Practitioner is no longer a fit and proper person to hold a Conveyancing Certificate will be considered by a professional member and 2 lay</p> | <p><u>or CILEx</u> Practitioner, that finding, order or decision will be referred to the Admissions and Licensing Committee. The Admissions and Licensing Committee will decide whether the <u>Chartered Legal Executive or CILEx</u> Practitioner remains a suitable person to hold a Practice Certificate. The Admissions and Licensing Committee must give reasons for its decision.</p> <p><u>109.</u> Rule <u>108</u> shall not apply where an order is made excluding a <u>Chartered Legal Executive or CILEx</u> Practitioner from registration of CILEx Regulation or membership of CILEx. In such a case the <u>Chartered Legal Executive or CILEx</u> Practitioner's Practice Certificate shall be invalid from the date the exclusion from membership or registration takes effect.</p> <p><u>110.</u> Where the Admissions and Licensing Committee decides that the <u>Chartered Legal Executive or CILEx</u> Practitioner is no longer a suitable person to hold a Practice Certificate or their certificate is invalid in accordance with Rule <u>108</u>, they must return their Certificate to CILEx Regulation within 28 days of being notified of the decision. Failure to do so will constitute a disciplinary offence. The <u>Chartered Legal Executive or CILEx</u> Practitioner may not exercise any practice rights granted to them under their Practice Certificate after they have been notified of the decision.</p> <p><u>111.</u> Notwithstanding the Admissions and Licensing Committee Rules an appeal against the decision of the Admissions and Licensing Committee that a <u>Chartered Legal Executive or CILEx</u> Practitioner is no longer a suitable person to hold a Practice Certificate will be considered by a professional member and 2 lay members drawn from the panel of lay and professional members appointed to serve on CILEx Regulation's Appeals Panel.</p> |          |

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| members drawn from the panel of lay and professional members appointed to serve on CILEx Regulation's appeals body. |                  |                 |