

BAR
STANDARDS
BOARD

REGULATING BARRISTERS

The Bar Standards Board

Annual Report 2012/13



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Chair's statement



The overarching theme of the last year has been preparing the Bar and the Bar Standards Board (BSB) for change. Perhaps the greatest example of this has been the work that has gone into developing the new BSB Handbook. Following the Legal Services Board's (LSB) approval, this will replace the current Code of Conduct and its annexes. The new BSB Handbook includes a revised Code of Conduct and will come into force from 6 January 2014.

The Handbook's approach is less prescriptive, with more focus and guidance on what the outcome of a rule should be, rather than attempting to define how a barrister should act in every situation.

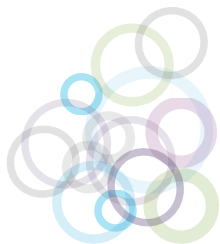
Underpinning the BSB Handbook will be new approaches to both enforcement and supervision on which we consulted this year. The Handbook will also include new measures that will empower barristers to change their business models in line with consumer need.

Perhaps the most high profile project work of the BSB this year was the final stage of the Quality Assurance Scheme for Advocates (QASA). We received a record number of responses to the fourth and final consultation, and many points were incorporated into the Scheme.

The work that has gone into QASA is not the end of the project's development: it is a starting point. We still need to develop the Scheme further for use in the Youth Courts and give further consideration to how Silks are incorporated in it.

The criminal justice system is dependent upon good quality advocacy to deliver fair results – recent media reports have drawn attention to this. I am proud that for the first time in the Bar's history there will be a transparent system allowing anyone to check that their criminal barrister has the basic competence required at the level they are operating.

As I write this, the Government is planning major changes to the Legal Aid system which will have an enormous impact on the general public and the Bar. This is a considerable overall change to the legal services landscape. We will monitor the changes to ensure that the public interest is protected, making changes to our rules and systems as necessary. The various projects we have developed and consulted on this year, such as our supervision strategy and new Handbook, will allow the BSB and the Bar to adapt to the needs of consumers in this changing market.



This year, I have tried to speak to as many people as possible about the work of the BSB and our commitment to protecting the public interest. I held meetings with Ministers, key government officials, members of the Judiciary and key individuals such as the Attorney General The Rt Hon Dominic Grieve QC MP, the CEO of Victim Support and the Director of Liberty. I met regularly with my counterparts in other organisations, such as the LSB and Solicitors Regulation Authority (SRA) and spoke at many events including the Chancery Bar annual conference and a series of lectures at Gresham College. In addition, I initiated a House of Lords debate on efficacy of legal regulation.

I must acknowledge the hard work and dedication of our Director, Dr Vanessa Davies, and more than 70 members of BSB staff. The achievements outlined in this report are the result of considerable application and aptitude on their part – not to mention the essential day-to-day business of regulating. The Board is very grateful for the efforts of the entire team.

I also wish to thank, on behalf of the entire Board, everyone outside the BSB who has been involved in, or contributed to, our work including responding to consultations. I am especially grateful to the members of our committees who help develop policy, ensure that decisions are made correctly and make our overall system of regulation work. Our barrister members still give their time *pro bono* and the time given is often significant. This includes over 70 members of the prosecution panel who provide *pro bono* representation for the BSB at Tribunals.¹

The Board itself changed at the end of 2012. We have a cycle of retirements and renewals of membership. In January 2013 Patricia Robertson QC became Vice Chair replacing Sir Geoffrey Nice QC. Justine Davidge became a barrister member of the BSB Board following Patricia's appointment. The Board continues to have a lay majority – a long stated ambition as well as being required by the LSB.

2014 will mark the end of my second three year term as Chair of the BSB. As I approach the end of my six year maximum term, I look forward to a period of continued efficiency and productivity. My priority as always will be to ensure that the public interest is served.

Baroness Ruth Deech, DBE
Chair, Bar Standards Board

¹ Prosecution Panel Information and Guidance pack – Bar Standards Board. 2013. *Prosecution Panel Information and Guidance pack – Bar Standards Board*. [ONLINE] Available at: <https://www.barstandardsboard.org.uk/complaints-and-professional-conduct/disciplinary-tribunals-and-findings/disciplinary-findings/prosecution-panel-information-and-guidance-pack/>. [Accessed 11 September 2013].

Director's statement



I am very pleased to present this Annual Report, covering the twelve month period from 1 April 2012 to 31 March 2013.

Change has been the defining theme of our year, modernising our approach to regulation to empower the Bar to respond to the changing needs of clients and the justice system.

During 2012/13 we started a formal change programme to coordinate our work. The Regulatory Improvement Programme (TRIP) that we launched and which will continue into 2014/15 is a structured way of introducing the changes to the way we regulate barristers. It will help us align the way we work with a more modern approach to regulation. For instance, we will assess the potential risks to clients and the public interest involved in what barristers do, and will provide more evidence for the regulatory action we take. We have also been considering the value for money we provide as a regulator. The economic situation and especially the impact of that on publicly-funded legal services mean that there will be continuing pressure for us to reduce costs. But as you will see from our financial statements, we have needed to make some investment in order to bring about longer-term change.

Another example of the way we are shifting the way we regulate has been this year's consultation on supervision and monitoring. The new approach seeks to target resources at those most likely to breach the Code of Conduct. The aim is to prevent problems before they arise by working with those chambers and practitioners who are identified as higher risk and pointing them to available support. Enforcement action will increasingly become our last resort and be reserved for the more serious cases. This is a more supportive system, and means that we target our resources more effectively.

Our new approach is underpinned by work on a new Code of Conduct and Handbook: several years of work are now coming to fruition.

Our overall progress towards change has been reviewed by our supra regulator, the LSB. We completed our first performance assessment against their Regulatory Standards Framework. We examined whether we are meeting the requirements laid down by the framework, and properly protecting the public interest. The review also required us to consider



whether we have the capacity and capability to modernise our approach to regulation. The LSB agreed with our self-assessment in every category. This means that our change programme is well-conceived and going according to plan: but there is a lot of work still to do. We have invested in staff training this year to support our improvements.

We have continued to monitor all aspects of education and training for barristers. We introduced an aptitude test for prospective students and will be evaluating its effectiveness and impact in the coming year. We have also developed new proposals for continuing professional development. The Legal Education and Training Review, which we sponsored with other regulators, was published in June 2013. This will form a major reference point for our future work in this area.

This year, we ensured that the Council of the Inns of Court (COIC) reformed how it administers disciplinary tribunals for barristers. The Bar Tribunal and Adjudication Service (BTAS) provides independent panels to hear disciplinary matters. We pride ourselves on operating in an open and transparent manner, and our disciplinary processes demonstrate that we take complaints by the public of professional misconduct extremely seriously.

This period has been about preparation and next year is about delivery. Our plans for the next three years are set out in our 2013/16 Strategic Plan. In particular, I look forward to the launch of the revised Code of Conduct within the new BSB Handbook. This brings together most of the BSB's regulations and guidance for barristers into one publication. We will also implement the first ever quality assurance scheme for criminal barristers. The general public will be able to assure themselves that the barrister acting for them or their family in criminal proceedings has the basic competence required at the level they are operating – and continues to do so throughout his or her practising career. This is a major step towards our mission to safeguard barristers' clients and protect the public interest.

I take this opportunity to thank the tremendously committed members of our Board for their hard work and support over the last year; and of course to acknowledge and express gratitude for the diligence, commitment and professionalism of my staff team. Their achievements are described in the remainder of this Annual Report.

Dr Vanessa Davies
Director, Bar Standards Board

Who we are and what we do

The BSB is the regulator of barristers in England and Wales and is responsible for:

- Setting the education and training requirements for becoming a barrister;
- Setting continuing training requirements to ensure that barristers' skills are maintained throughout their careers;
- Setting standards of conduct for barristers;
- Monitoring the service provided by barristers to assure quality;
- Authorising barristers to practise;
- Handling complaints against barristers and taking enforcement or other action where appropriate.

Our mission over the reporting period has been to promote and safeguard the highest standards of legal education and practice in the interests of clients, the public and the profession. We have had a vision for the 2010/13 period that:

- The term "BSB regulated" will be an assurance of good, honest, independent advocacy and expert legal advice;
- The public and the profession will recognise and value that assurance;
- The same will be said of how we do our job as a regulator: good, honest, independent, expert.

During 2012/13 we developed a new expression of our mission and vision and adopted the following for our 2013/16 Strategic Plan:

Our mission is to regulate the Bar so as to promote high standards of practice and safeguard clients and the public interest. Our vision is to become a more modern and efficient regulator operating to externally agreed high standards, fulfilling our mission and upholding and promoting the regulatory objectives and professional principles.



Our strategic objectives to 2012/13

Our core aims were categorised under three headings: Regulation, Accountability and People. Our values during the period were expressed as:

- Fairness and justice
- Innovation
- Responsiveness and proactivity
- Diversity and equality

These values are woven into everything we do.

Regulation	
Aim 1	Our standards continuously ensure high quality practice and a profession that provides equal access to justice for all and reflects the diversity of society.
Aim 2	All those whom we regulate live up to our standards.
Aim 3	Clients receive effective advocacy and legal representation from those we regulate.
Aim 4	We research, design and implement a regulatory framework that reflects the regulatory objectives, leading change for better regulation or partnering with others to do so.
Accountability	
Aim 5	Excellent governance and management to ensure effective independent regulation, acting responsibly in the public interest.
Aim 6	We raise our resources responsibly, use them efficiently and effectively and account for our spending decisions.
Aim 7	We set performance standards, monitor progress and report transparently.
Aim 8	We have an Information Strategy that ensures we deliver good customer service.
People	
Aim 9	The public understands the standards they are entitled to expect from those whom we regulate.
Aim 10	The profession understands the standards they are required to meet.
Aim 11	We are responsive and proactive, ensuring that the public, 'relevant third parties' and those we regulate have confidence in us.
Aim 12	Our people add value; we listen, reflect and act effectively and appropriately.

Overview of achievements

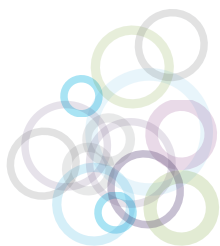
Education and Training

The Centralised Examinations Board (CEB) successfully oversaw the first full year of delivery of centralised assessments for three components of the Bar Professional Training Course (BPTC): criminal litigation; evidence and sentencing; civil litigation; evidence and remedies and professional ethics. The BPTC itself had delivered its first assessments the year before, following the recommendations of the Wood Report (2008).² Nine institutions delivered the course and the necessary assessments across eleven sites in England and Wales. Anonymised comparative data on pass rates are published on our website.³

Planning for a Bar Course Aptitude Test (BCAT) was completed in preparation for the 2013/14 cycle of recruitment for the BPTC, following approval from the LSB in July 2012. The BCAT tests students' critical thinking and reasoning as these are the core skills required for the BPTC. The test is now an entry requirement for all candidates for the course. The aim of the test is to ensure that those undertaking the BPTC have the required skills to succeed.

Publication of the Legal Education & Training Review (LETR), commissioned in 2011 by the three principal regulators of the legal sector SRA, IPS and BSB, was delayed but the review provoked policy thinking nonetheless. A symposium was held in July 2012 in Manchester and two key discussion papers were published in April⁴ and August 2012.⁵ The final report was published in June 2013.⁶ Alongside the Regulatory Standards Framework, this will inform our thinking on the development of training for the Bar over the next few years. The LETR points clearly to the significant challenges that we face in preparing prospective barristers for the changing marketplace in legal services.

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- 2 BPTC Syllabus and Centralised Examinations – Bar Standards Board. 2013. *BPTC Syllabus and Centralised Examinations – Bar Standards Board*. [ONLINE] Available at: <https://www.barstandardsboard.org.uk/qualifying-as-a-barrister/bar-professional-training-course/bptc-syllabus-and-centralised-examinations/>. [Accessed 10 September 2013].
 - 3 BPTC Syllabus and Centralised Examinations – Bar Standards Board. 2013. *BPTC Syllabus and Centralised Examinations – Bar Standards Board*. [ONLINE] Available at: <http://www.barstandardsboard.org.uk/qualifying-as-a-barrister/bar-professional-training-course/bptc-syllabus-and-centralised-examinations/>. [Accessed 05 September 2013].
 - 4 Briefing paper 042013. [ONLINE] Available at: <http://www.lettr.org.uk/wp-content/uploads/Briefing-paper-04-final.pdf>. [Accessed 05 September 2013].
 - 5 LETR | Legal Education and Training Review. 2013. LETR | Legal Education and Training Review. [ONLINE] Available at: <http://www.lettr.org.uk/briefing-and-discussion-papers/index.html>. [Accessed 05 September 2013].
 - 6 LETR | Legal Education and Training Review. 2013. LETR | Legal Education and Training Review. [ONLINE] Available at: <http://www.lettr.org.uk/the-report/index.html>. [Accessed 05 September 2013].



We recognise that sometimes people's circumstances mean that our rules cannot or should not apply in full to them. We receive individual applications from people wishing to qualify or practise as barristers who may need to be exempted from normal training requirements. For example, we look at the qualifications of solicitors from England and Wales as well as lawyers from other countries who want to become barristers in England and Wales. We also consider waiver applications from the standard requirements for qualification and practice as a barrister, approve training organisations as suitable to take pupils, grant licensed access for organisations to instruct a barrister directly where appropriate, review decisions of the Inns Conduct Committee and review decisions of the Bar Council on the issue of practising certificates. Statistics on the numbers of these applications we dealt with during 2012/13 are included at Annex 4.

Professional Practice

Key changes to the Code of Conduct during 2012/13

The new equality and diversity rules

In July 2011 the LSB issued guidance under s162 of the Legal Services Act 2007 setting out its expectations regarding how regulators should ensure their regulated community undertakes diversity monitoring. The key requirement was for chambers to conduct a diversity monitoring exercise, giving every individual in a chambers' workforce an opportunity to self-classify against the protected characteristics: age, gender, disability, ethnic group, religion or belief, sexual orientation, socio-economic background and caring responsibilities. The LSB guidance stipulated that firms and chambers should publish summary data about their workforce in relation to all the characteristics listed above, except sexual orientation and religion/belief.

The BSB had separately reviewed the equality and diversity requirements in the current Code of Conduct and decided to impose new duties on self-employed barristers (the extent to which individuals would be held accountable would depend on their level of responsibility in chambers).

The new rules which also incorporated the LSB's guidance were approved in June 2012 and require chambers:

- to have an equality and diversity policy accompanied by an implementation plan;
- to appoint an equality and diversity officer;
- to ensure members of selection panels undertake training in fair recruitment and use fair selection criteria; and
- to have policies in relation to flexible working, reasonable adjustments and harassment.

Changes to the 'Cab-rank' rule to accommodate the new standard contractual terms

In October 2011 we asked the LSB to approve changes to the 'Cab-rank rule'. This crucial rule means a barrister must take a case that is within their knowledge and expertise provided they are free to do so, no matter how unpalatable the case. Although there are practical exceptions, it means that

everyone has the opportunity of being represented by a barrister of their choice, which in turn is an important element of a fair trial.

The BSB applied to extend the scope of the rule to situations where instructions were undertaken on a contractual basis (either on standard terms approved by the BSB for that purpose or on the barristers' own terms). In January 2012 the LSB issued a warning notice indicating that it was considering whether to reject the application. After further consultation the LSB approved the application in July 2012 and the provisions came into effect at the end of January 2013.



The removal of restrictions on media comment

As part of the development of the BSB Handbook it was decided that the prohibition in the current Code of Conduct on media comment was no longer necessary. This change was approved by the LSB in March 2013. Guidance has been issued to clarify the relevant sections of the Code of Conduct that continue to be relevant when barristers decide whether and to what extent they may make media comments.

New Public Access training

The Public Access scheme allows members of the public to instruct barristers directly where those barristers have undertaken additional training. Some restrictions have been in place since this scheme was introduced in 2009. Only barristers who had at least three years of practising experience could provide services directly to the public to ensure that clients were offered an additional layer of protection by dealing with more experienced practitioners. Barristers were also prevented from taking on Public Access cases where the client was entitled to public funding.

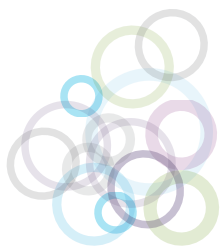
Having reviewed the rules, the BSB decided that it was in the public interest to put measures in place to manage any extra risks. We thought it sensible to open up the market for clients who may have been affected by the reduction in legal aid by increasing the number of legal advisers available to them. This would also provide an alternative to paying a contribution towards the cost of their publicly funded representation in legal aid cases.

At the same time, we are reviewing the training requirements and training provider tenders for Public Access and will recommend some changes be made to ensure barristers are able to recognise and support more vulnerable clients as well as understanding when clients might be eligible for public funding.

The restriction on taking cases where clients were eligible for public funding was removed in April 2013. The 'three year rule' will be removed once new training courses are available (these are expected to be in place by autumn 2013). In addition, all Public Access barristers will have to undertake 'top up' training within two years of the new courses being available, or seek a waiver on the basis of their experience.

The new Bar Standards Board Handbook and submission to the LSB for approval

During 2012/13 the BSB's Professional Practice Department was primarily focused on developing the new BSB Handbook and proposals for entity



regulation. In developing these proposals we have had regard to the LSB's RSF which specifies the four pillars of good legal regulation as:

- An outcomes-driven approach to regulation that gives the correct incentives for ethical behaviour and has effect right across the increasingly diverse market;
- A robust understanding of the risks to consumers associated with legal practice and the ability to profile the regulated community according to the level of risk;
- Supervision of the regulated community at entity and individual level according to the risk presented;
- A compliance and enforcement approach that deters and punishes appropriately.

These principles have shaped our approach to the new Handbook, taking into account the individual needs of the sector that we regulate and the BSB's particular capacities and capabilities. Introduced alongside the BSB Handbook will be a new risk-based approach to both supervision and enforcement. This will target the BSB's resources at areas of greatest risk and ensure more proportionate regulation of the profession.

We issued a major consultation on the Handbook which closed at the end of June 2012 and we published our response in December 2012. At that time we shared a draft application with the LSB.

Following the submission of the draft application we had useful discussions with the LSB about their views on our approach and the issues that they would like us to address in the final application.

Following input from the LSB and drafting amendments in the light of the consultation, the BSB approved the final version of the Handbook for individual barristers at its March 2013 meeting. The LSB approved the Handbook in July 2013 and it will come into force from 6 January 2014. In the meantime, we expect to ask the LSB to approve our proposals for non-Alternative Business Structures (ABS) entity regulation, and in 2014 we plan to seek designation as a Licensing Authority for ABSs.

Quality

The development of a risk-based approach to supervision

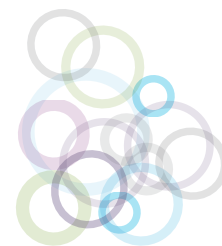
A fundamental part of the BSB's strategic plan is to move towards a risk-based approach to the supervision of the Bar. The advent of the new BSB Handbook and the anticipated authorisation of the BSB as an entity regulator places a greater emphasis on the need for targeted supervision rather than reactive enforcement. The prime responsibility for ensuring compliance with regulatory requirements rests with individual barristers and the chambers and entities within which they work. The professionalism and ethical integrity of individuals provides the best protection for consumers and the public interest. Through supervision, the BSB will encourage and

support the maintenance of that professionalism and take proportionate measures where these standards are not met.

Supervision will focus on assisting chambers and entities to manage risk so as to prevent non-compliance with the Code of Conduct from materialising rather than relying on enforcement action after the event.

A consultation sought views on the proposed supervision strategy. The strategy seeks to bring together the various areas which the BSB supervises and monitors, such as pupillage, CPD and equality and diversity, so that a holistic view of the risk profile of chambers and entities can be established. This also benefits chambers by having only one department within the BSB that deals with all aspects of monitoring.

The consultation responses will be analysed in the summer of 2013 with a view to the introduction of the new approach to supervision being implemented in January 2014 in line with the timetable for the new Handbook and the BSB becoming an entity regulator in the future.



CASE STUDY: QASA

The fourth and final consultation on the Quality Assurance Scheme for Advocates (QASA), was launched in July 2012. The Scheme, which has been in development for four years and is due to be implemented in 2013, will introduce a uniform system of accreditation for criminal advocacy work in the magistrates and Crown Courts. Its aim is to ensure that all those undertaking criminal advocacy are competent to do so at the level at which they are practising.

The Joint Advocacy Group (JAG), consisting of the BSB, IPS and the SRA launched the proposals for the final details of the Scheme. The proposals included the revisions made since the preceding consultation, which closed in November 2011. The proposal also took into account further discussions with key stakeholders such as the judiciary, the Crown Prosecution Service, the Criminal Bar Association and the Solicitors Association for Higher Court Advocates.

The consultation, which closed on 9 October 2012, focused on issues not previously covered or those which have been altered since the last consultation. These included arrangements for accreditation at Level 2; the levels within the Scheme (including Youth Court work) and phased implementation.

Following consultation some adjustments of detail were made to the Scheme which will now commence in September 2013 instead of January 2013.

The consultation, and further information on the Scheme, is available on the QASA website.⁷

⁷ QASA: Welcome. 2013. QASA: Welcome. [ONLINE] Available at: <http://www.qasa.org.uk/>. [Accessed 29 August 2013].



Professional Conduct

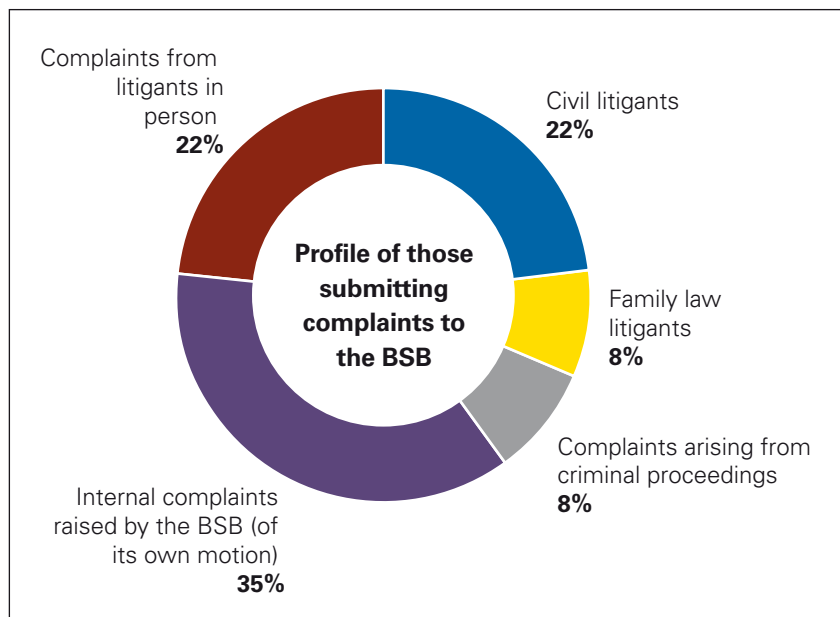
Complaints handling performance

The Professional Conduct Department (PCD) is responsible for considering and investigating complaints and, where appropriate, taking enforcement action. The sanctions imposed by Disciplinary Tribunals ranged from reprimands to disbarments.

The profile of those submitting complaints to the BSB has remained largely the same. Complaints from litigants in person continue to remain high due to changes in legal aid although the increase seen over the last two years has plateaued. The Annual Report of the PCD can be found on the BSB website.⁸

Opened or received cases during the course of the year	Cases referred to disciplinary action during the course of the year	Complaints closed during the course of the year
491	116	550

Number of cases heard by Disciplinary Tribunal during the course of the year	Percentage of cases heard by Disciplinary Tribunal which resulted in a finding of misconduct on one or more charges during the course of the year	Number of barristers disbarred over the course of the year
91	82%	11



⁸ Performance reports – Bar Standards Board. 2013. *Performance reports – Bar Standards Board*. [ONLINE] Available at: <https://www.barstandardsboard.org.uk/about-bar-standards-board/how-we-do-it/our-staff/professional-conduct-department/performance-reports/>. [Accessed 13 September 2013].

The PCD has continued to conduct a User Feedback Survey to monitor the experience of those using our complaints service. In general four out of five barristers came away with a positive perception of the BSB and our complaints handling service but, disappointingly, for complainants the figure is closer to two out of five.

There is a strong correlation between those complainants who consider our process to be unfair and those whose complaints were dismissed without investigation. While the Independent Observer continues to give assurances that the decisions we make are “fair and consistent,” we still have an issue of perception to overcome. Next year we will invest in independent research to find out why complainants continue to report dissatisfaction and we will continue to review our information to complainants to ensure our processes are clear.



Quality checks of the system

The BSB’s Independent Observer is tasked with providing independent assurance to the Board that the BSB’s complaints and disciplinary system (enforcement system) is operating in line with its aims and objectives. The current Independent Observer’s second annual report, covering the period June 2012 – May 2013, concluded that the system is operating well and that the handling of complaints is “prompt, thorough and fair”. The Independent Observer commended staff and the Professional Conduct Committee for their consistent and well-reasoned decision making as well as their genuine commitment to continuous improvement. The Independent Observer’s Annual Report can be found on the BSB website.⁹

CASE STUDY: Thematic review of complaints from Litigants in Person

Since 2011 there has been a significant increase in numbers of complaints received from litigants in person (also known as self-represented litigants). The PCD undertook a thematic review of the complaints received from such litigants during the period January 2011 – March 2012 to try to gain a better understanding of the issues of concern.

The conclusions of the review mirrored those found by other bodies. The review found that in a very high percentage of cases, the complaints arose from either a lack of understanding of the legal process and/or role of the lawyer, or an unrealistic expectation of what could be achieved by complaining to the BSB. In more than 95% of cases there was no evidence to suggest that the barristers subject to the complaints had breached the Code of Conduct. It was therefore apparent that there is a need for more public guidance about the role of barristers and their obligations in relation to those who represent themselves. The full Thematic Review report can be found on the BSB website.¹⁰

9 Professional Conduct Department Printable Resources – Bar Standards Board. 2013. *Professional Conduct Department Printable Resources – Bar Standards Board*. [ONLINE] Available at: <https://www.barstandardsboard.org.uk/complaints-and-professional-conduct/professional-conduct-resources/>. [Accessed 5 September 2013].

10 Professional Conduct Department Printable Resources – Bar Standards Board. 2013. *Professional Conduct Department Printable Resources – Bar Standards Board*. [ONLINE] Available at: <https://www.barstandardsboard.org.uk/complaints-and-professional-conduct/professional-conduct-resources/>. [Accessed 05 September 2013].



CASE STUDY: Complaints

The BSB was contacted by police investigating a series of fraudulent, immigration-related offences committed by individuals who claimed to have been advised by a solicitor. On researching the solicitor, the police found him to be dual qualified as both a solicitor and a barrister. The research also revealed that the person had been struck off from the roll of solicitors for discreditable conduct. Under the Code of Conduct, a barrister must report promptly to the BSB if s/he is charged with a disciplinary offence by another Approved Regulator or professional body.

Following consideration of the information provided by the police, the Assessment Team Manager was satisfied that there was evidence of a potential breach of the Code of Conduct and authorised the raising of an own motion complaint

The case was passed to the Investigation and Hearings Team for formal investigation during which evidence was gathered, including the comments of all relevant people involved, character references and transcripts of the previous hearing in front of the Solicitors Disciplinary Tribunal. On completion of the investigation, a report was put before the full Professional Conduct Committee at a meeting. The Committee took the view that:

- there was sufficient evidence that the barrister had engaged in conduct discreditable to a barrister;
- there were reasonable prospects of securing findings of professional misconduct in front of an independent Tribunal on two charges; and
- the regulatory objectives would best be served by taking disciplinary action.

The Committee also considered the charges to be serious enough that, if proved, the barrister could be suspended from practice for more than three months. The Committee therefore referred the case to a five person Disciplinary Tribunal.

The PCD served the charges and evidence on the barrister and, with the assistance of a member of the BSB's prosecution panel, prepared the case for hearing in front of a Tribunal convened by the Council of the Inns of Court.¹¹ The Tribunal found the charges proved and decided that the only appropriate sentence was one of disbarment. The barrister was also ordered to pay the costs of the hearing.

¹¹ Now the Disciplinary Tribunal would be set up by The Bar Tribunals and Adjudication Service (BTAS).

Additional projects

The BSB has faced the significant challenge of planning for and then starting to implement the LSB's Regulatory Standards Framework this year. This arose during the year – after our business plan and budget were set. The detailed programme of work required additional staff to meet the LSB's timelines which required more money than our original budget allowed. A comprehensive plan is now in place to make the necessary improvements across all areas of the framework.



We addressed a number of other, quite varied, issues this year including:

- Working with the Council of the Inns of Court (COIC) in order to conduct a root and branch review of its tribunal service;
- Ensuring that some of our high level programmes had stronger management systems in place to allow for effective delivery, for example, the Centralised Examinations and the BCAT;
- The drafting of an IT strategy, overseen by the Governance, Risk and Audit Committee, to help ensure that our technology and communications tools are adequate to help us deliver our regulatory activities; and
- Developing and testing our business continuity and disaster recovery plans.

Council of the Inns of Court – administration of the Tribunal Service

All disciplinary matters are heard by independently convened panels. Last year, the COIC conducted a comprehensive Review of its Disciplinary Tribunals service. The review report, issued in July 2012, made 82 recommendations for improvement.¹²

Significant progress has been made in implementing the recommendations including the appointment of permanent senior staff. A new service, using freshly appointed panel members, has been created called the Bar Tribunals and Adjudication Service (BTAS). This service operates from a dedicated Tribunal Suite at 9 Gray's Inn Square and has its own website¹³. BTAS has introduced new policies and procedures to support the full breadth of its work including the selection, appointment and appraisal of panel members. The record keeping system has also been overhauled to assist with ensuring the proper administration of the service and to allow for effective performance reporting to the BSB.

In July 2013, the BSB finalised an agreement with the COIC for the future provision of the tribunal service. The agreement sets the standards by which the service must operate and provides for performance indicators to be set by the BSB: failure by BTAS to meet the standards or the KPIs will constitute a breach of contract.

¹² Browne, D. QC (2012) Final Report from the Council of the Inns of Court (COIC) disciplinary tribunals and hearings review group: The COIC Disciplinary Tribunals and Hearings Review Group.

¹³ Home | Bar Tribunals and Adjudication Service. 2013. Home | Bar Tribunals and Adjudication Service. [ONLINE] Available at: <http://www.tbts.org.uk/>. [Accessed 29 August 2013].



Cost

It has been a challenging time for the BSB with the regulatory world in flux. The economic climate and government spending cuts have had a particularly severe impact on the publicly-funded members of the profession and their clients. The BSB has had to move quickly to realign its operations with the demands and directions from the LSB.

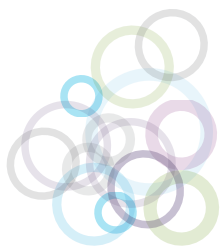
The table below shows how we have performed against our strategy overall. It lists our key achievements, budget, and staff over the last three years.

	Budget / actual (%)	Directly attributable income	Staff (head count)	Key achievements
Year 1 (12m) Jan 2010 to Dec 2010	£3,648k/ £3,184k (+13%)	£1,243k	51	<ul style="list-style-type: none"> • BSB Constitution; • Consultations on: Authorisation to Practise, Equality and Diversity rules, QASA, and Entity regulation; • Bar Professional Training Course handbook and Pupillage review publications; • Expanded chambers' monitoring; • Legal disciplinary partnerships rules in place; • Legal Ombudsman transition; • First Internal Governance Rules certification; and • Staff satisfaction survey conducted.
Year 2 (15m) Jan 2011 to Mar 2012	£4,585k/ £4,498k (+2%)	£1,648k	68	<ul style="list-style-type: none"> • Centralised Exams launched; • Equality and Diversity rules drafted; • Authorisation to Practise and Barrister Connect in place; • Second Entity regulation, Code of Conduct consultations; • Alternative Business Structure rules in place; • Professional Conduct internal improvements; • Appointment of a new Independent Observer;



	Budget / actual (%)	Directly attributable income	Staff (head count)	Key achievements
Year 2 (con't)				<ul style="list-style-type: none"> • Board lay majority in place; • Standing orders in place; new governance committees set up (Planning, Resources and Performance and Governance, Risk and Audit); • Feedback and complaints policy published; • Biennial Survey of the Bar published; • New website launched; and • Joined Twitter and gained 2,000 followers.
Year 3 (12m) Apr 2012 to Mar 2013	£4,132k/ £4,225k (-2%)	£1,365k	75	<ul style="list-style-type: none"> • Equality and Diversity rules in place; • Professional Conduct diversity and litigants in person reviews conducted; • First Centralised Exams cycle completed; • Regulatory Standards Framework Self-Assessment submitted to the LSB; • New strategic plan drafted with Key Performance Indicators and IT, HR and Equality & Diversity strategies aligned; • TRIP launched.

The Year End outturn for the BSB against the original budget allocation (£4,132k) was £4,225k; an overspend of £93k (-2%). Against the uplifted budget (£4,619k) there was an underspend of £393k (+9%) reflecting the caution with which we expended additional funds made available in-year. The BSB received £1,365k in non-Practising Certificate Fee income (+3% against our original 2012/13 forecast). Our stated income of £1,365 includes the £108k which was received in PCD fines etc. We make no forecast or budget for income from fines.



Accountability

Internal governance rules, standing orders, and board meetings

The BSB is the independent regulatory arm of the Bar Council and it is responsible for the regulation of barristers in England and Wales in the public interest. The BSB's systems of internal control complement the Bar Council's own systems and processes.

The BSB has its own constitution and standing orders: the latter this year have undergone only minor amendments. The Board is responsible for the strategic leadership and direction of the BSB. Its membership is set out on the opposite page. Other committees that support the Board in delivering its regulatory activities are also listed in Annex 2. The Board met 12 times during the year. A lay Board member led a review of the Board's performance and the improvements recommended will be fed into TRIP.

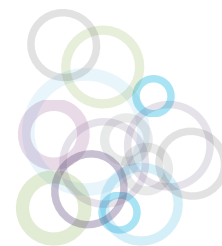
The BSB independently controls its resources. The Planning, Resources and Performance (PRP) Committee is responsible for work relating to the development of strategic direction and plans for the BSB and also advises the Board on resources and performance. The PRP Committee met eight times in the last year.

The BSB also ensures that its governance standards and internal controls are maintained via the Governance, Risk and Audit (GRA) Committee, which met eight times during the year. This Committee is also responsible on behalf of the Board for reviewing the corporate risk management framework of the BSB. Each senior manager is responsible for the areas of risk that relate to their department. The corporate risk register is reviewed quarterly by both the GRA Committee and the Board as set out in the Risk Management policy; the former also conducts in depth risk reviews at each ordinary meeting. The Committee also received an external IT security audit report: no major issues were raised.

This governance structure ensures that the BSB remains independent from the Bar Council in respect of its resourcing decisions and exercise of its regulatory functions as required by the (statutory) Internal Governance Rules made by the Legal Services Board.

Annex 1

Board members



As at January 2012

Chair

Baroness Ruth Deech QC (Hon)

Vice-Chair

Sir Geoffrey Nice QC

Barrister Members

Ms Sarah Clarke

Mr Simon Lofthouse QC

Mr Matthew Nicklin

Ms Patricia Robertson QC

Mr Sam Stein QC

Lay Members

Ms Rolande Anderson

Mr Rob Behrens

Dr Malcolm Cohen JP

Ms Paula Diggle

Mr Tim Robinson

Professor Andrew Sanders

Mr Richard Thompson

Dr Anne Wright

As at January 2013

Chair

Baroness Ruth Deech QC (Hon)

Vice-Chair

Ms Patricia Robertson QC

Barrister Members

Ms Sarah Clarke

Mr Simon Lofthouse QC

Mr Matthew Nicklin QC

Ms Justine Davidge

Mr Sam Stein QC

Lay Members

Ms Rolande Anderson

Mr Rob Behrens

Dr Malcolm Cohen JP

Ms Paula Diggle

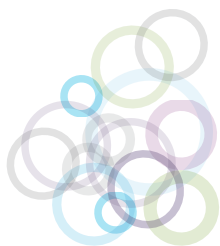
Mr Tim Robinson

Professor Andrew Sanders

Mr Richard Thompson

Dr Anne Wright

The Board continued to benefit in 2012/13 from the contribution of three former members as Special Advisers, in order to ensure continuity of expertise in very specific areas: Emily Windsor (barrister), Sarah Brown and John Carrier (lay).



Annex 2

Committees and their responsibilities

Education and Training: Responsible for setting the standards of education and training that people must reach before being able to practise as barristers, together with the further training requirements that barristers must comply with throughout their careers.

Equality and Diversity: Responsible for ensuring that the BSB's functions have given due consideration to eliminating discrimination and promoting equality.

Governance, Risk and Audit: Responsible for ensuring the maintenance of good governance standards and internal control processes.

Planning, Resources and Performance: Responsible for work relating to development of strategic direction, resources allocation and performance monitoring.

Professional Conduct Committee: Responsible for investigating complaints and taking enforcement action against barristers who have breached the Code of Conduct.

Qualifications: Responsible for looking at individual applications from people wishing to become barristers but who would like to be exempted from the normal training requirements.

Quality Assurance: Responsible for monitoring standards and encouraging professional excellence at the Bar.

Standards: Responsible for the Code of Conduct which all barristers must comply with and issuing guidance on good practice.

Annex 3

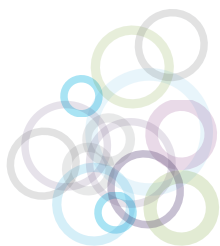
Financial statements

At the start of the 2010/2012 strategic plan we planned and reported in calendar years (January – December). In 2011 we moved to financial years (April – March) which meant that one of our reporting periods was 15 months long instead of 12 months. Our original strategic plan was extended to cover the period from January 2010 to March 2013.



Management Commentary

- The actual spend for the 2012/13 financial year was almost on budget and reflects performance against the BSB's 2012/13 Business Plan.
- Implementing the RSF was, and remains, the BSB's greatest challenge, as was the impact of issues arising from the management of the Tribunal Service by the Council of the Inns of Court (COIC – now BTAS). The Bar Council Finance Committee granted an in-year budget uplift to deal with these unanticipated additional requirements.
- Additional activities that had not been budgeted for in the original 2012/13 Business Plan, or activities for which costs had been underestimated include:
 - The Defined Benefit pension scheme for staff not closing at the time originally anticipated (~£100k overspent);
 - Legal fees and cost orders/awards associated with complex complaints and tribunals (~£70k overspent);
 - The CEB implementation (~£120k overspent). Improved planning processes, based on the knowledge of a full past year's activity, mean that better estimates have been made for future years;
 - Legal fees for the drafting of the new Handbook and for Entity Regulation (~£90k overspent); however this was offset by underspends caused by delayed implementation (see below).
- The BSB's future budgets will make provision for the increasing need for legal and professional advice as well as incorporating new posts (some of which are temporary) required to deliver the RSF.
- Areas of activity that were underspent or where costs were overestimated include:
 - Employment costs – staff vacancies particularly in the Strategy and Communications and Professional Practice departments, as well as not needing temporary staff in the Quality Assurance department to assist with implementation of the Quality Assurance Scheme for Advocates (QASA) (an underspend of ~£100k);
 - The new Handbook and Entity regulation: these programmes of work were delayed and the full implementation costs will not now be realised until 2014 (an underspend of ~£115k).



- Chambers monitoring was de-prioritised. Supervision activity will be developed in 2014 in line with the RSF implementation and 2013 consultation (an underspend of ~£11k);
- QASA, which has been delayed against the original timeline. The delays have had an impact on both expenditure and income. Future budgets have been reforecast accordingly (an underspend of ~£75k).
- As referred to above, the BSB required an up-lift to its budget to help it meet its obligations with regard to the implementation of the RSF. The main driver was to bring in new members of staff (some temporarily) to cope with the additional and new work. The BSB sought to be as conservative as it could be in spending against the in-year uplift, in order to protect the reserves as far as possible.

The in-year bid:

- i) In-year requirement driven by RSF: £392k;
- ii) In-year requirement driven by COIC issues: £95k.

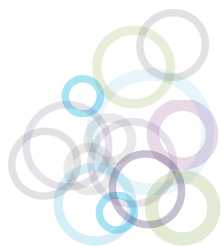
Our year-end position against this bid was:

- iii) RSF: £216k, which is 45% below the original bid;
- iv) COIC: £86k, which is 9% below the original bid.

Financial statements: Bar Council

Income	Year to 31/03/13 £000	15 Mths to 31/03/12 £000
Practising Certificate Fees: Core activities	8,126	9,265
LSB/OLC Levy rec'd	1,111	2,028
Pensions Levy rec'd	549	3,218
	9,786	14,511
LSB/OLC Levy deferred to 2013/14	(208)	(10)
Pension Fund Levy deferred to 2012/13	(549)	(3,218)
	9,029	11,283
Inns Contributions	1,442	1,612
Total: General Activities	10,471	12,895
Members Services Fee	1,254	1,692
Affinity Portfolio	205	251
SBA Administration	130	164
<i>Counsel</i> magazine	87	112
Conferences/Courses/other	528	513
Total: Representation	2,204	2,732
Education & Training: Validation	608	576
Accreditation	265	332
Bar Professional Training Course	107	209
Joint Regulations	178	252
Academic Stage/Other	99	146
	1,257	1,515
Disciplinary: Fines & Cost Recoveries	108	134
Total: Regulation	1,365	1,649
Investment Income	112	109
Expected Return on pension assets	805	742
Other	49	60
Total: Financial & Other	966	911
Total: All Sources	15,006	18,187





Financial statements

Expenditure

Core activities	Direct:	Direct:	Alloc.:	Alloc.:	Alloc.:	12 Mths	15 Mths
	Staff	Other	Prem.	Manage.	C.Serv.	to	to
	£000	£000	£000	£000	£000	31/03/13	31/12/12
						£000	£000
Corporate (see note on page 25)	492	389	372	–	443	1,696	2,242

Representation

Professional Affairs	360	113	80	68	304	925	1,161
Remuneration	339	66	70	59	263	797	1,098
International/Europe	191	238	40	45	162	676	911
Member Services	364	556	38	81	364	1,403	1,279
Communications	196	91	42	36	162	527	609
	1,450	1,064	270	289	1,255	4,328	5,058

Regulation

Professional Conduct	1,109	250	269	402	915	2,945	3,238
Education and Training	519	467	85	201	457	1,729	1,548
Qualifications	247	24	26	62	141	500	857
Professional Practice	330	113	92	108	246	889	1,385
Quality	252	7	44	124	281	708	561
Quality Assurance	79	37	39	31	70	256	217
Scheme for Advocates							
	2,536	898	555	928	2,110	7,027	7,806

13,051 15,106

Financial

Interest on pension liabilities						741	869
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Total

13,792 15,975

The total cost of regulation for 2012/13 was £7,027k, which is made up of directly controlled costs (core activities) and indirect costs (our overheads). The directly controlled expenditure includes staff costs (£2,536k), other costs (£898k) and management costs (£928k), and aside from a number of year-end adjustments (-£137k) this adds up to our actual expenditure (£4,225k). All overhead costs are controlled by the Bar Council and the costs that relate to regulation have been apportioned to the BSB core activity; these include premises costs (£555k) and central services costs (£2,110k). More information about this apportionment can be found in the Bar Council's Financial Statements.¹⁴

¹⁴ Annual Reports. 2013. *Annual Reports*. [ONLINE] Available at: <http://www.barcouncil.org.uk/about-us/strategic-plan-and-annual-reports/>. [Accessed 05 September 2013].

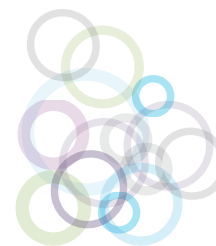
Financial statements

	Direct:	Direct:	Alloc.:	Alloc.:	Alloc.:	Year to	15 Mths
Core activities	Staff	Other	Prem.	Manage.	C.Serv.	31/03/13	to
	£000	£000	£000	£000	£000	£000	31/12/12
Central Services							£000
Member Records	209	–	62	33	–	304	374
Finance & Trust Funds	245	538	51	26	–	859	784
Human Resources	174	2	31	20	–	227	212
Office Services	154	49	360	26	–	589	781
Print & Distribution	128	130	68	27	–	353	453
IT	177	469	42	26	–	714	737
Diversity	285	22	51	30	–	388	447
Research	132	62	31	16	–	241	410
Project Support	105	–	14	14	–	133	195
	1,609	1,271	710	218	–	3,808	4,393

Allocated: Corporate	(443)	(461)
Representation	(1,255)	(1,595)
Regulation	(2,110)	(2,337)
	(3,808)	(4,393)

Premises costs have been apportioned on the basis of floor area occupied. Department Management costs have been allocated on a headcount basis. Central Services costs have been allocated on a usage/headcount basis. Management costs allocated above comprise staff costs, other direct costs plus share of premises.

The BSB in May 2012 approached the Bar Council (via its Finance Committee) for additional resources. This requirement arose because of a) the need to implement the LSB's RSF and b) the failure of COIC to adequately manage its disciplinary tribunal system which resulted in additional cost to the BSB. This in-year bid was approved and this meant that the BSB had £392k more available to it to start implementation of the programme and £95k needed for the costs consequential to the COIC issues. The BSB continued to report against its original budget (see page 17) during the year however in this report we present our performance against both our original budget and the uplifted budget made available to us.





Remuneration

The Bar Council is the employer of all staff as the BSB does not have a separate legal identity. The remuneration information aggregates the data for all employees as a result. This information is identical to the data in the Bar Council's financial statement.

Staff Costs:

Employees

The aggregate remuneration and associated costs of total employees were:

	Year to to 31/03/13 £000	15 Mths to 31/12/12 £000
Salaries	5,336	6,364
National Insurance	598	726
Pension Costs, including Life Assurance Premiums	562	1,066
Other Staff Costs, including Temporary Staff and Recruitment	596	497
	7,094	8,653

Total defined contributions paid in the year were £346k (15 months 2011/12 – £282k).

The average number of employees in the year was 142 (2012/13 – 138).

Office Holders & Key Management Personnel

The Chairman of the Bar was paid £172k (15 months 2011/12 – £217k) and the Chair of the BSB was paid £88k (15 months 2011/12 – £110k).

The Vice-Chairman of the Bar was paid £86k (15 months 2011/12 – £108k) and the Vice-Chair of the BSB received £35k (15 months 2011/12 – £44k).

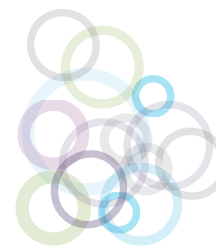
The Treasurer was paid £Nil (2011/12 – £Nil).

Details of corporate expenses are available on the BSB website.¹⁵

¹⁵ Corporate publications – Media Centre – Bar Standards Board. 2013. *Corporate publications – Media Centre – Bar Standards Board*. [ONLINE] Available at: <https://www.barstandardsboard.org.uk/media-centre/publications/corporate-publications/>. [Accessed 06 September 2013].

Remuneration

Remuneration, excluding pension scheme contributions, paid to senior employees, including the Chairman of the Bar and the Chair of the BSB, fell within the following ranges:



	Year to to 31/03/13 Nos.	15 Mths to 31/12/12 Nos.
£210k-£220k	–	1
£170k-£180k	1	–
£110k-£120k	–	4
£100k-£110k	–	1
£90k-£100k	3	–
£80k-£90k	2	3
£70k-£80k	2	3
£60k-£70k	6	1

Pension contributions paid in the year for both Bar Council and BSB provision of defined contribution benefits for senior employees was £74k (15 months 2011/12 – £75k).

Details of corporate expenses are available on the BSB website.¹⁶

¹⁶ Corporate publications – Media Centre – Bar Standards Board. 2013. *Corporate publications – Media Centre – Bar Standards Board*. [ONLINE] Available at: <https://www.barstandardsboard.org.uk/media-centre/publications/corporate-publications/>. [Accessed 06 September 2013].

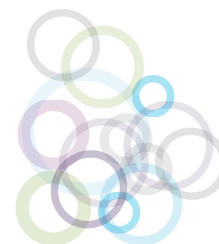


Annex 4

Qualifications Committee 2012 statistics

**Number of Applications Considered by the Qualifications Committee
1 January to 31 December 2012**

	Total 2012 (2011 figure in brackets)
Transferring Qualified Lawyers Panel ("Panel 1")	
Qualified Foreign Lawyers	75 (35)
European lawyers applying for Call to the Bar	22 (13)
European lawyers applying for Registration under the Establishment Directive	5 (2)
Registered European Lawyers applying for Call to the Bar	1 (0)
Legal Academics applying for dispensation from the standard requirements for Call to the Bar	5 (3)
Northern Irish Barristers	2 (4)
Applications for Temporary Membership of the Bar	4 (2)
Solicitors applying for Call to the Bar	110 (91)
Reduction in Pupillage for a Barrister who has also qualified as a Solicitor	21 (40)
<i>Total Panel 1</i>	<i>245 (190)</i>
Pupillage Panel ("Panel 2")	
Applications for approval to undertake external training	11 (9)
Applications for reduction in pupillage	57 (39)
Applications from pupils for dispensation from the pupillage regulations	33 (29)
Applications for retrospective registration of pupillage	8 (10)
Other Panel 2	0 (2)
<i>Total Panel 2</i>	<i>109 (89)</i>
CPD Panel ("Panel 3")	
Applications for extension of time for completion of the New Practitioners Programme (NPP)	55 (33)
Applications for waiver of the NPP Requirements	12 (16)
Applications for extension of time for completion of the Established Practitioners Programme (EPP)	187 (314)
Applications for waiver of the EPP Requirements	78 (78)
<i>Total Panel 3</i>	<i>332 (441)</i>



	Total 2012 (2011 figure in brackets)
Practising Rules Panel ("Panel 4")	
Applications for rights of audience/waivers of the practising rules	47 (36)
Applications for designation as a "qualified person"	4 (0)
Applications for rights to conduct litigation	10 (4)
Applications for waiver of the Public Access Rules	29 (69)
Applications for licensed access	52 (29)
<i>Total Panel 4</i>	<i>143 (138)</i>
Pupillage Funding & Advertising Panel ("Panel 5")	
Applications for waivers of the Pupillage Funding & Advertising Requirements	31 (29)
Applications for authorisation as a pupillage training organisation	14 (19)
<i>Total Panel 5</i>	<i>45 (48)</i>
Academic Stage Panel ("Panel 6")*	
Applications for Partial Exemption from the Academic Stage	31 (35)
Applications for Exercise of Discretion to Waive Requirement to obtain lower second class honours	17 (23)
Application for Certificate of Academic Standing on the basis of overseas or non-standard degrees	179 (159)
Applications for reactivation of stale qualifications	29 (28)
Application for approval of credit transfer	53 (40)
Application for approval to exceed permitted study-time	11 (21)
Application for permission to commence Vocational Stage before completing Academic Stage	0 (3)
Application for approval of deemed pass/condonation	16 (2)
Bar Examination Transcript/Certifying Letter	15 (14)
General Exemption	0 (1)
Mature Non-Graduate	11 (9)
<i>Total Panel 6</i>	<i>362 (335)</i>
Full Committee	
Review of decisions on applications to Qualifications Committee	64 (55)
Review of decisions of the Inns Conduct Committee	5 (3)
Other Full Committee	1 (2)
<i>Total Full Committee</i>	<i>70 (60)</i>
Total Applications	1,306 (1,301)

Annex 5

This table shows how our aims and the activities that contribute to the aims relate to the regulatory objectives

		The regulatory objectives							
		Protecting and promoting the public interest	Supporting the Constitutional principal of the rule of law	Improving access to justice	Protecting and promoting the interests of consumers	Promoting competition in the provision of services	Encouraging an independent, strong, diverse and effective legal profession	Public understanding of citizens' legal rights and duties	Promoting and maintaining adherence to the professional principles
Aim 1	Our standards continuously ensure high quality practice and a profession that provides equal access to justice for all and reflects the diversity of society	✓	✓	✓	✓	✓	✓	✓	✓
Aim 2	All those whom we regulate live up to our standards	✓	✓		✓		✓		✓
Aim 3	Clients receive effective advocacy and legal representation from those we regulate	✓	✓	✓	✓		✓	✓	✓
Aim 4	We research, design and implement a regulatory framework that reflects the regulatory objectives, leading change for better regulation or partnering with others to do so	✓	✓	✓	✓	✓	✓	✓	✓
Aim 5	Excellent governance & management ensure effective independent regulation, acting responsibly in the public interest	✓		✓					✓
Aim 6	We raise our resources responsibly, use them efficiently and effectively and account for our spending decisions	✓		✓					✓
Aim 7	We set performance standards, monitor progress and report transparently	✓		✓					✓

		The regulatory objectives							
		Protecting and promoting the public interest	Supporting the Constitutional principal of the rule of law	Improving access to justice	Protecting and promoting the interests of consumers	Promoting competition in the provision of services	Encouraging an independent, strong, diverse and effective legal profession	Public understanding of citizens' legal rights and duties	Promoting and maintaining adherence to the professional principles
Aim 8	We have an Information Strategy that ensures we deliver good customer service	✓	✓	✓			✓	✓	✓
Aim 9	The public understands the standards they are entitled to expect from those whom we regulate	✓	✓	✓	✓			✓	✓
Aim 10	The profession understands the standards they are required to meet	✓	✓	✓	✓		✓		✓
Aim 11	We are responsive and proactive, ensuring the public, 'relevant third parties' and those we regulate have confidence in us	✓			✓		✓	✓	✓
Aim 12	Our people add value; we listen, reflect and act effectively and appropriately	✓							

Our Work



Contact us

We are committed to providing a high standard of service and dealing with everyone in a way that is fair, transparent and proportionate. We welcome feedback on our services, particularly where the level of service has exceeded or fallen below expectations. Comments and suggestions are important to us as they will help us to meet our obligations and improve our performance.

Write to us

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289-293 High Holborn
London
WC1V 7HZ

DX: 240 LDE
Tel: 020 7611 1444
Fax: 020 7831 9217

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