

Regulator	Rule
Solicitors Regulations Authority (SRA)	<p>For Trainee Solicitors: SRA Training Regulation (2014) - Qualification and Provider Regulations.</p> <p>SRA Education, Training & Assessment Provider Regulations (2019) 4.1 (c)</p>
	<p>For Firms: SRA Code of Conduct for Solicitors, REL's and RFLs - Para 3.5</p> <p>SRA Code of Conduct for Firms Para 4.4.</p>
Bar Standards Board (BSB)	<p>Pupillage: The BSB Handbook - Bar Qualification Rules - Part 4</p>

	For Chambers: Supervision Strategy and Framework
Chartered Institute of Legal Executives (CILEX)	For Individual: (including trainees and Apprentices)
	For Firms: Rule 12 - SRA Practice Framework Rules 2011.
Council for Licenced Conveyancers (CLC)	For Licenced Conveyancers and those undertaking qualifying work experience: BSB Handbook - Regulatory Arrangements Universal - Management and Supervision Arrangements Code

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Requirements	By Who
<p>Trainee solicitors must be appropriately supervised by solicitors and other individuals who have the necessary skills and experience in the practice area they are supervising to provide effective supervision.</p> <p>Trainee solicitors need to be appropriately supervised by solicitors and other individuals who have adequate legal knowledge and experience in the practice area they are supervising to provide effective supervision.</p>	<p>On a day-to-day basis, trainees may be supervised by a number of different people, including partners, managers, solicitors or experienced legal executives.</p> <p>SQE - solicitor or Compliance office for legal practice (COLP) - Solicitor of England and Wales or COLP within the organisation where the placement took place. The Solicitor or COLP does not need to hold a practicing certificate. Or A solicitor of England and Wales who does not need to hold a practicing certificate, working outside the organisation where the placement took place who has direct experience of the work of the individual completing QWE and who has (1) reviewed their work during the relevant period of work experience and (2) received feedback from the person or persons supervising their work.</p>
<p>SRA Guidance on "Effective Supervision" sets out the expectations placed on law firms for effective supervision.</p>	<p>Regulated works must be supervised by at least one person who has practiced as a lawyer for at least 3 years, and who might be either a manager or employee of the body or an external resource - rule 9.4 of the Authorisation of Firms Rule.</p>
<p>The BSB Handbook requires newly qualified barristers with less than three years' standing to work with a more experienced barrister who is available to give them guidance when they undertake specified reserved legal activities</p>	<p>By an experienced barrister with at least five years experience.</p>

To ensure effective supervision	BSB Supervision Team
Qualifying Employment and Work Based Learning supervised by an Authorised Person.	By An " Authorised Person " who is a lawyer qualified in accordance with the Legal Services Act 2007, s.18. For example CILEX Fellows, CILEX Practitioners, Solicitors, Barristers, Licenced Conveyancers are all authorised persons under the Act.
Firms must have a manager or sole practitioner who is "qualified to supervise". This means they must have been practicing for at least three years and have completed the training specified from time to time by the SRA for this purpose.	As above
Supervision must be undertaken by an "Authorised Person"	By an " Authorised Person " licenced to offer conveyancing services directly to the public - i.e a licenced conveyance, a licence probate practitioner, a solicitor or a CILEX Lawyer (Conveyancing Practitioner and Fellow), licenced to offer conveyancing services directly to the public.

Each entity must be able to demonstrate that effective supervision arrangements are in place and are operating to a level which satisfies the CLC that it is compliant and in accordance with the Code of Conduct	As above
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Period of Supervision	Mode of Supervision
<p>2 Years full time or equivalent (32 hours per week) - Period of Recognised Training.</p>	<p>Supervision can take place face to face or remotely depending on the risks involved and the work patterns of supervisors and supervisees.</p>
<p>Ongoing</p>	<p>Supervision can take place face to face or remotely depending on the risks involved and the work patterns of supervisors and supervisees. Supervision should always include an element of direct discussions, as well as review of documents. This discussion can take place remotely or face to face where appropriate.</p>
<p>12 Months - period of work based, practical training divided into two six-month periods, known as sixes.</p>	<p>It will be for the AETO to determine how contact time with the pupil supervisor is structured and the AETO must be able to demonstrate to the BSB that a high standard of supervision is maintained.</p>

Ongoing	<p>monitoring Continuing Professional Development (CPD)</p> <ul style="list-style-type: none"> - issuing Regulatory Returns to chambers and BSB-regulated - visiting those BSB regulate in order to help them manage risk and to comply with our rules; - conducting thematic reviews into areas of BSB regulation which pose the biggest threats to BSB Regulatory Objectives and where BSB think they might need to change their rules; and <p>considering a range of information that they receive about regulated individuals and bodies in order to decide, where necessary, on the appropriate regulatory action to take.</p>
To complete at least 3 years qualifying employment of which: 1 year must be served as an Advanced Paralegal member of CILEX. The 2 years immediately before you apply for Fellowship must be served consecutively. Qualifying employment is work that is wholly of legal nature and must be undertaking work for at least 20 hours per week, supervised by an authorised person.	Supervision can take place face to face or remotely depending on the risks involved and the work patterns of supervisors and supervisees.
Ongoing	As above
All applicants seeking to apply for a CLC Licence must complete a Statement of Practical Experience in conveyancing and/ or Probate. they must demonstrate that they have been in full time or part time, paid or unpaid employment assisting in the provision of conveyancing services over a period of 24 months within the past 36 months, completing 1200 hours of Practical Experience certified by an "Authorised Person".	<p>In person - in one of the following environments: (a) a regulated law, professional and financial services firm registered in England and Wales or (b) A Government body, Local Authority, Utilities Company, or national Charity when the work of the trainee/ apprentice is supervised by an "Authorised Person". It is at the "Authorised Persons" discretion as to the mode of supervision. i.e Virtual/ Remote</p>

Ongoing	On Site Inspections
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Review/ Reporting

Regular review and appraisal. SRA recommends an informal performance review about once per month. Trainees are responsible for maintaining a training record showing their work experience and skills developed - this should be reviewed by the supervisor regularly (*Rule 4.1 (d) of SRA Education, Training and Assessment Provided Regulations*)

Firms should be able to evidence the supervision arrangements they choose for each area of work, and the risk-based reasons for the approach they have taken.

Regular formal review and appraisal meetings **every three months**.
Assessment in line with the threshold standard and competences specified in the Professional Statement.

Regular and ongoing Impact and Risk assessments focussing on those that present the highest risk to the Regulatory Objectives and to the public:

Regular review and appraisal. Assesment of competence through completion of a work based learning logbook and portfolio of evidence.

Regular review and appraisal.

Regular Reviews

Useful Links

<https://www.sra.org.uk/solicitors/guidance/effective-supervision-guidance/>

[Supervision Strategy and Framework
\(barstandardsboard.org.uk\)](http://barstandardsboard.org.uk)

