Comparison of Probate Rights Certification Rules with CILEx Lawyer Authorisation rules

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

Probate rights	New rules	Comments
DEFINITIONS	DEFINITIONS	Definitions deleted are no
1. In these Rules, except where otherwise indicated:	 In these Rules, except where otherwise indicated: 	longer used in the rules.
•	•	Four new definitions relevant to the amendments made to the rules for probate rights authorisation have been added.

	Certificate" or an "Advocacy Certificate" identified in these Rules; • "Practice Rights Certificate" means a Conveyancing Certificate, "Immigration Certificate", "Probate Certificate", "Employment Certificate", "Business Certificate" or "General Certificate" identified in these Rules;	
NOTES Words importing the singular include the plural and vice versa.	NOTES <u>3.</u> Words importing the singular include the plural and vice versa.	No change, but rule number added. New rules have an additional note.
DELEGATIONS Responsibility for this qualification scheme is delegated by CILEx to CILEx Regulation.	DELEGATIONS <u>4.</u> Responsibility for this qualification <u>authorisation</u> scheme is delegated by to CILEx <u>Regulation by to</u> CILEx-Regulation.	Text change for consistency. Rule number added.
 PROBATE PRACTICE CERTIFICATE 3. An applicant in good standing may apply to CILEx Regulation to be granted a Probate Certificate. 4. The probate rights exercisable by a person holding a Probate Certificate are to prepare any probate papers for the purposes of the law of England and Wales or in relation to any proceedings in England and Wales. Probate papers mean any papers on which to found or oppose a grant of probate or a grant of letters of administration. 	 Practice Rights ELIGIBILITY PROBATE PRACTICE-CERTIFICATE 223. An applicant in good standing who has three years' general legal experience including probate practice experience in the two years preceding the application, or is applying for Fellowship and has three years' general legal experience in the two years' general legal experience including probate practice experience in the two years preceding the application, may apply to CILEx Regulation to be granted a Probate Certificate. 234. The probate rights exercisable by a person holding a Probate Certificate are to prepare any probate papers for the purposes of the law of England and Wales or in relation to any proceedings in England and Wales. Probate papers mean any papers on which to found or oppose a grant of probate or a grant of letters of administration.	Changes reflect the two routes to award of a Probate 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' probate experience was in Annex 3 of the Probate Rights Certification Rules.
QUALIFICATION ARRANGEMENTS 5. Applicants who seek a Probate Certificate must demonstrate that they meet the knowledge, skills and experience criteria in accordance with the knowledge, skills and experience guidelines and the Portfolio Guidelines which appear at Annexes 1 and 2 and	QUALIFICATION ARRANGEMENTSAPPLICATIONSProbate Certificate345. Applicants who seek a ProbateCertificate must be able to demonstratethat they meet the knowledge, skills andexperience criteria in accordance with the	Changed section heading for consistency. Note: new rules in this section are not listed in numerical order but to correspond with current rules

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the competence framework at	knowledge, skills and experience guidelines	Rules appear in different
Annex 3.	and the Portfolio Guidelines which appear	sections as a result of
Annex J.	at Annexes 1 and 2 and the- and	consolidation.
	competence framework-requirements set	
	out at Annex $\frac{3}{6}$ in accordance with the	
6. Applicants who seek a Probate	application guidelines set by CILEx	Generic application
Certificate must make an	Regulation.	paragraphs apply to probate
application in accordance with the	<u>Regulation</u> .	certificate applications.
knowledge, skills and experience		
guidelines which appear 3 at	<u>306</u> . Applicants who seek a <u>Probate Practice</u>	References to supplementary
Annex 1 and the portfolio	Rights Certificate should demonstrate	annexes have been replaced
guidelines and assessment criteria	meeting must make an application in	by reference to the new
which appear at Annex 2.	accordance with the knowledge, skills and	Education Standards and to
	experience guidelines which appear 3 at	new application guidelines to
	Annex 1 and the portfolio guidelines and	be produced by CILEx
	assessment criteria which appear at Annex 2	Regulation.
7. 4	and competence requirements by using the	
7. An application must be made	documentation prescribed by CILEx	No material changes to the
on such form as may be	Regulation to produce a portfolio of evidence.	decision making process, but
prescribed for the purpose by	evidence.	the text of the rules has been
CILEx Regulation and shall be		altered to make more
accompanied by such fees as may be fixed by CILEx Regulation from	<u>31</u> 7. <u>Applicants who seek a Practice Rights</u>	consistent.
time to time.	Certificate must complete all application	
time to time.	forms required by CILEx Regulation and pay	
	An application must be made on such form	New rule 42 adds clarity and
	as may be prescribed for the purpose by	makes it clear that the Officer can make a decision on an
	CILEx Regulation and shall be accompanied	
	by such fees as may be fixed by CILEx	application.
	Regulation from time to time.	
		With a small amendment to
		rule 43, it is clear that not all
	DECISION MAKING	porfolios need to be sent to
		the external advisor.
	3914. 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	
	<u>competence requirements</u> the knowledge,	
	skills and experience guidelines and the	
	portfolio guidelines and assessment criteria	
	at Annexes 1 and 2.	
8 CILEX Pegulation will consider	418. CILEx Regulation will consider the an	
8. CILEx Regulation will consider the application to ensure it meets	application for a Practice Rights Certificate	
the criteria set out in the	to ensure it meets the <u>relevant eligibility</u>	
knowledge, skills and experience	criteria, the application guidelines and the	
guidelines which appear at Annex	related knowledge and competence	
1 and the portfolio guidelines and	requirements set out in the knowledge,	
assessment criteria which appear	skills and experience guidelines which	
at Annex 2.	appear at Annex 1 and the portfolio	
L	3	1

9. 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.

10. 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** whether the applicant may be granted a Probate 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.

11. Where the external advisor decides that the portfolios do not meet the knowledge, skills and experience guidelines and the portfolio guidelines and

appear at Annex 2. 42. The decision to approve an application for a Practice Rights Certificate may be made by an Officer of CILEx Regulation. 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.

guidelines and assessment criteria which

<u>43</u>9. The portfolios which form part of the application <u>will-may</u> be sent to an external advisor for assessment. The external advisor will assess whether the portfolios meet the application guidelines and the relevant knowledge and competence requirements, skills and experience guidelines and the portfolio guidelines and assessment criteria at Annexes 1 and 2.

4410. 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 decide whether the applicationt may be granted a Probate Certificate 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.

<u>45</u><u>11</u>. Where the external advisor decides that the portfolios do not meet the <u>relevant</u> knowledge <u>and competence requirements</u>, skills and experience guidelines and the portfolio guidelines and assessment criteria

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.

12. 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.

13. The Committee may:

• approve the application;

• decide that the applicant does not meet the criteria and indicate which of the criteria the applicant does not meet.

14. 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.

15. The Officer will notify an applicant of their decision or the decision of the Admissions and Licensing Committee.

16. Where the application has been approved, the notification shall include the Probate Certificate.

17. 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 at Annexes 1 and 2-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.

<u>46</u><u>12</u>. The Admissions and Licensing Committee will decide whether or not an application <u>referred to it</u> 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.

4713. The Admissions and Licensing Committee may:

• <u>Aapprove the application;</u>

• <u>D</u>decide that the applicant does not meet the criteria and indicate which of the criteria the applicant does not meet.

[rule 14 is replaced by rule 39, above]

<u>48</u>15. The Officer will notify an applicant of their decision or the decision of the Admissions and Licensing Committee.

<u>49</u>16. Where the application has been approved, the notification shall include the <u>Probate Practice Rights</u> Certificate.

5017. Where the application is unsuccessful, the notification shall set out the Committee's reasons and any preconditions to the consideration of any subsequent application. Where an application is unsuccessful, the applicant may apply for reconsideration in accordance

apply for reconsideration in accordance with the Admissions and Licensing Committee Rules.	with the Admissions and Licensing Committee Rules.	
PRACTICE MANAGEMENT AND ACCOUNTS 18. A Probate 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 framework 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. 19. 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 relied upon demonstrates that the applicant meets the requirements of the competency framework. 20. An applicant who does not meet the knowledge, skills and experience requirements for practice management and or accounts must complete qualification courses and assessment in those areas which meet the competency frameworks	 PRACTICE MANAGEMENT AND ACCOUNTS 18. A Probate 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 framework 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. 19. 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. 20. An applicant who does not meet the knowledge, skills and experience requirements for practice management and or accounts must complete qualification courses and assessment in those areas which meet the competency frameworks at Annexes 4 and 5. 	Rules deleted as covered by regulatory arrangements for entity regulation.
at Annexes 4 and 5. ADMISSIONS AND LICENSING COMMITTEE 21. The Admissions and Licensing Committee established under the Admissions and Licensing Committee Rules shall be	ADMISSIONS AND LICENSING COMMITTEE 3821. The Admissions and Licensing Committee established under the Admissions and Licensing Committee Rules shall be responsible for <u>matters relating to</u> <u>these Rules</u> the probate rights qualification scheme.	Rule now in the Decision making section. New number and made applicable across the practice areas.

responsible for the probate rights		
qualification scheme.		
EXTERNAL ADVISORS	EXTERNAL ADVISORS	Rule now in the Decision making section. New number and made applicable across the practice areas.
22. CILEx Regulation shall appoint external advisors to advise CILEx Regulation and the Admissions and Licensing Committee on	<u>40</u> 22. CILEx Regulation shall appoint external advisors to advise CILEx Regulation and the Admissions and Licensing Committee on issues relating to probate	
issues relating to probate practice rights.	practice rights <u>matters</u> relating to these <u>Rules</u> .	
PROBATE PRACTITIONERS	PROBATE PRACTITIONERS CILEX LAWYERS	Section heading changed.
23. An applicant who has been awarded a Probate Certificate will be known as a Probate Practitioner.	8323. An applicant who has been awarded a Probate Certificate will be known as a Probate PractitionerCILEx Lawyer (Probate).	Rule number changed and rule reflects change in title arising from new Education Standards.
CONTINUING PROFESSIONAL DEVELOPMENT (CPD)	CONTINUING PROFESSIONAL DEVELOPMENT (CPD)	The CPD rules have been consolidated for all practice areas. Three rules have been deleted as they repeat, unnecessarily the CPD regulations that the current rules already refer to.
24. Probate Practitioners will be required to undertake Continuing Professional Development (CPD) in accordance with the CPD Regulations issued by CILEx Regulation from time to time	<u>10224</u> . <u>As CILEx Practitioners, CILEx Lawyers</u> <u>are Probate Practitioners will be</u> required to undertake Continuing Professional Development (CPD) in accordance with the CPD Regulations issued by CILEx Regulation from time to time <u>applicable to Chartered</u>	
applicable to Chartered Legal Executives.	Legal Executives. 25. Where a Probate Practitioner has failed	
25. Where a Probate 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	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	
the Admissions and Licensing Committee. The Admissions and Licensing Committee will consider whether the Probate Practitioner	will consider whether the Probate Practitioner should retain their Probate Certificate. 26. The Probate Practitioner will have the	
should retain their Probate Certificate.	opportunity to make written representations to the Committee and a	
26. The Probate Practitioner will have the opportunity to make	right to be heard by the Committee. 27. The Committee may decide to:	
written representations to the Committee and a right to be heard by the Committee.	Grant an extension of up to 3 months for the Probate Practitioner to meet their outstanding CPD requirements. The Probate	
27. The Committee may decide to:	outstanding CPD requirements. The Probate Practitioner will still be required to meet	
• Grant an extension of up to 3 months for the Probate	their current CPD requirement in the normal way; or	
Practitioner to meet their outstanding CPD requirements.	 Withdraw the Probate Certificate. <u>103</u>28. Where a Probate Practitioner's CILEx 	
The Probate Practitioner will still be required to meet their current CPD requirement in the normal	Lawyer's Certificate has been withdrawn for 12 months or more, on the basis that they	
way; or	have not met their CPD requirements, they will be required to make a fresh application	

• Withdraw the Brobate	for a Probate Practice Certificate in	
 Withdraw the Probate Certificate. 	accordance with these Rules.	
28. Where a Probate 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 Probate Certificate in accordance with		
these Rules.		
DISCIPLINARY PROCEDURES AND	Disciplinary procedures and Code of	The Disciplinary Rules have
CODE OF CONDUCT	Conduct	been consolidated for all
29. Probate Practitioners will be	<u>10429</u> . <u>As CILEx Practitioners, CILEx Lawyers</u>	practice areas. Minor text
required to abide by the Code of	Probate Practitioners will be required to	changes for consistency
Conduct of CILEx for the time	abide by the Code of Conduct of CILEx for	across all practice areas.
being in force. They will also be	the time being in force. They will also be	
bound by the associated	bound by the associated regulatory	
regulatory arrangements in force	arrangements in force from time to time.	
from time to time.	10530. Where a complaint is made, or an	
30. Where a complaint is made, or	issue is brought to the attention of CILEx	
an issue is brought to the	Regulation, regarding the conduct of a	
attention of CILEx Regulation,	Probate Practitioner <u>CILEx Lawyer</u> , that	
regarding the conduct of a	matter will be dealt with in accordance with	
Probate Practitioner, that matter	the CILEx Regulation's Enforcement	
will be dealt with in accordance	Investigation, Disciplinary and Appeals	
with CILEx's Investigation,	Rules.	
Disciplinary and Appeals Rules.	<u>106.</u> Where a finding, order or decision is	
Where a finding, order or decision is made against a Probate	made against a Probate Practitioner <u>CILEx</u>	
Practitioner, that finding, order or	Lawyer, that finding, order or decision will	
decision will be referred to the	be referred to the Admissions and Licensing	
Admissions and Licensing	Committee. The Admissions and Licensing	
Committee. The Admissions and	Committee will decide whether the Probate	
Licensing Committee will decide	Practitioner <u>CILEx Lawyer</u> remains a <u>suitable</u>	
whether the Probate Practitioner	fit and proper person to hold a Probate Practice Certificate. The Admissions and	
remains a fit and proper person to	Licensing Committee must give reasons for	
hold a Probate Practice	its decision.	
Certificate. The Admissions and		
Licensing Committee must give	10731. Rule 10630 shall not apply where an	
reasons for its decision.	order is made excluding a Probate	
31. Rule 30 shall not apply where	Practitioner <u>CILEx Lawyer</u> from registration of CILEx Regulation or membership of CILEx.	
an order is made excluding a	In such a case the Probate Practitioner's	
Probate Practitioner from	CILEx Lawyer's Certificate shall be invalid	
registration of CILEx Regulation or	from the date the exclusion from	
membership of CILEx. In such a	membership or registration takes effect.	
case the Probate Practitioner's	10832. Where the Admissions and Licensing	
Certificate shall be invalid from	Committee decides that the Probate	
the date the exclusion from	PractitionerCILEx Lawyer is no longer a fit	
membership or registration takes	and propersuitable person to hold a Probate	
effect.	Practice Certificate or their certificate is	
	invalid in accordance with Rule 10731 , they	

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32. Where the Admissions and	must return their Certificate to CILEx	
Licensing Committee decides that	Regulation within 28 days of them being	
the Probate Practitioner is no	notified of the decision. Failure to do so will	
longer a fit and proper person to	constitute a disciplinary offence. The	
hold a Probate Certificate or their	Probate PractitionerCILEx Lawyer may not	
certificate is invalid in accordance	exercise any probate practice rights granted	
with Rule 31, they must return	to them under their <u>Practice</u> Certificate	
their Certificate to CILEx	after they have been notified of the	
Regulation within 28 days of them	decision.	
being notified of the decision.	10933. Notwithstanding the Admissions and	
Failure to do so will constitute a	Licensing Committee Rules an appeal	
disciplinary offence. The Probate	against the decision of the Admissions and	
Practitioner may not exercise any	Licensing Committee that a Probate	
probate practice rights granted to	PractitionerCILEx Lawyer is no longer a fit	
them under their Certificate after	and propersuitable person to hold a Probate	
they have been notified of the	Practice Certificate will be considered by a	
decision.	professional member and 2 lay members	
33. Notwithstanding the	drawn from the panel of lay and	
Admissions and Licensing	professional members appointed to serve	
Committee Rules an appeal	on CILEx Regulation's <u>Aappeals</u> Panelbody.	
against the decision of the		
Admissions and Licensing		
Committee that a Probate		
Practitioner is no longer a fit and		
proper person to hold a Probate		
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 body.		