

Table of Authorisations under Part 5 of the BSB Handbook

Complaints Regulations 2014

Under Regulation rE3 of the Complaints Regulations 2014 (Part 5 A of the BSB Handbook), the Professional Conduct Committee of the Bar Standards Board has made the authorisations set out in the table below.

Rule	Function	Authorisation to
rE2.1	Consider external complaints	Individual Members of the PCC Director of Professional Conduct Head of Conduct Assessments Assessment Officers Head of Investigations and Hearings Professional Support Lawyer Casework Managers Senior Case Officers Case Officers
rE2.2	Raise internal complaints and withdraw such complaints	Office Holders Director of Professional Conduct Head of Conduct Assessments Head of Investigations and Hearings Professional Support Lawyer Casework Managers Assessment Officers (Category 1 complaints only)
rE2.3 (1) - (2)	Determine that complaints discloses a potential breach of the Handbook	Office Holders Experienced Members Director of Professional Conduct Head of Conduct Assessments Head of Investigations and Hearings Professional Support Lawyer
rE2.3 (3)	Determine that complaints satisfy the disqualification condition	Office Holders
rE2.4	Direct the investigation of complaints	Office Holders Director of Professional Conduct Head of Investigations and Hearings Professional Support Lawyer Casework Managers Senior Case Officers Case Officers
rE2.6	Bring charges of professional misconduct	Office Holders Director of Professional Conduct Head of Investigations and Hearings Professional Support Lawyer Casework Managers

P09 – Authorisations under Part 5 of the Handbook - Annex 1

Rule	Function	Authorisation to
rE2.10	Refer to Disciplinary Tribunal any legal aid complaint and prosecute any such charges before a Tribunal	Office Holders Director of Professional Conduct Head of Investigations and Hearings Professional Support Lawyer Casework Managers Senior Case Officers Case Officers
rE2.6	Make an application for disqualification before Disciplinary Tribunals	Office Holders
rE2.13	Impose, or direct the imposition of, administrative sanctions.	Office Holders Director of Professional Conduct Head of Investigations and Hearings Professional Support Lawyer Casework Managers
rE4	Extend time limits prescribed by the Complaints Regulations	Office Holders Experienced Members Director of Professional Conduct Head of Conduct Assessments Assessment Officers Head of Investigations and Hearings Professional Support Lawyer Casework Managers Senior Case Officers Case Officers
rE6	Postpone consideration of a complaint	Office Holders Director of Professional Conduct Head of Conduct Assessments Head of Investigations and Hearings Professional Support Lawyer Casework Managers
rE7	Seek information or assistance	Office Holders Director of Professional Conduct Head of Conduct Assessments Assessment Officers Head of Investigations and Hearings Professional Support Lawyer Casework Managers Senior Case Officers Case Officers Professional Conduct Assistant
rE13 - 14	Refer client complaint to the Legal Ombudsman	Office Holders Experienced Members Director of Professional Conduct Head of Conduct Assessments Assessment Officers

P09 – Authorisations under Part 5 of the Handbook - Annex 1

Rule	Function	Authorisation to
rE17	Refer complaints to Chambers/BSB authorised body	Director of Professional Conduct Head of Conduct Assessments Assessment Officers
rE20	Refer complaints to Chambers/BSB authorised body - send information to Head of Chambers/relevant nominated person, or to the HOLP	Director of Professional Conduct Head of Conduct Assessments Assessment Officers Professional Conduct Assistant
rE23.1	Dismiss complaints about relevant persons acting in a part-time or temporary judicial or quasi-judicial capacity	Office Holders Experienced Members Director of Professional Conduct Head of Conduct Assessments Assessment Officers
rE23.2	Refer complaints about relevant persons acting part-time or temporary judicial or quasi-judicial capacity	Office Holders Experienced Members Director of Professional Conduct Head of Conduct Assessments Head of Investigations and Hearings
rE23.3	Reconsider complaints about relevant persons acting in a judicial capacity where directed to by appropriate body	Office Holders Experienced Members Director of Professional Conduct Head of Conduct Assessments
rE26	Inform complainant of redirection of complaint about full time judges to appropriate body	Office Holders Director of Professional Conduct Head of Conduct Assessments Assessment Officers
rE27	Refer complaints for supervisory action by the supervision team	Director of Professional Conduct Head of Conduct Assessments Assessment Officers Head of Investigations and Hearings Professional Support Lawyer Casework Managers Senior Case Officers Case Officers
rE27	Reconsider complaints where directed to by supervision team	Director of Professional Conduct Head of Conduct Assessments Assessment Officers
rE28	Refer complaints to other persons or bodies	Office Holders Director of Professional Conduct Head of Conduct Assessments Head of Investigations and Hearings

P09 – Authorisations under Part 5 of the Handbook - Annex 1

Rule	Function	Authorisation to
rE28	Reconsider complaint where not appropriately dealt with by person or body	Office Holders Experienced members Director of Professional Conduct Head of Conduct Assessments Assessment Officers
rE30	Dismiss complaints where they do not concern a relevant person or where they relate to a non-authorized person in circumstances unlikely to satisfy the disqualification condition	Office Holders Experienced Members Director of Professional Conduct Head of Conduct Assessments Assessment Officers
rE31	Dismiss complaints out of time	Office Holders Experienced Members Director of Professional Conduct Head of Conduct Assessments Assessment Officers
rE32	Dismiss complaints where further consideration of it is not justified for any of the reasons set out in sub-sections rE32.1 – rE32.4	Office Holders Experienced Members Director of Professional Conduct Head of Conduct Assessments Assessment Officer Head of Investigations and Hearings Professional Support Lawyer Casework Manager Senior Case Officer Case Officer
rE33	Investigate external complaints	Office Holders Experienced Members Director of Professional Conduct Head of Investigations and Hearings Professional Support Lawyer Casework Managers Senior Case Officers Case Officers
rE36	Raise new complaints discovered during investigation/consideration	Office Holders Director of Professional Conduct Head of Investigations and Hearings Professional Support Lawyer Casework Managers
rE36.1(c)	Postpone consideration/ make further enquiries	Individual Members of the PCC Director of Professional Conduct Head of Investigations and Hearings

P09 – Authorisations under Part 5 of the Handbook - Annex 1

Rule	Function	Authorisation to
		Professional Support Lawyer Casework Managers
rE37.1	Dismiss complaints post-investigation	Office Holders Experienced Members Director of Professional Conduct Head of Investigations and Hearings Professional Support Lawyer Casework Managers Senior Case Officers Case Officers
rE37.2	Dismiss complaints post-investigation: breach, but no enforcement action	Office Holders Experienced Members Director of Professional Conduct Head of Investigations and Hearings Professional Support Lawyer Casework Managers
rE37.5	Refer complaints about convictions for offences of dishonesty or deception to a Disciplinary Tribunal	Office Holders Director of Professional Conduct Head of Investigations and Hearings Professional Support Lawyer Casework Managers Senior Case Officers Case Officers
rE38	Refer to Disciplinary Tribunal	Office Holders Director of Professional Conduct Head of Investigations and Hearings Professional Support Lawyer Casework Managers
rE41	Direct that complaints be subject to the determination by consent procedure	Office Holders Director of Professional Conduct Head of Investigations and Hearings Professional Support Lawyer Casework Managers
rE42	Direct that European Lawyers report to relevant professional bodies	Office Holders Director of Professional Conduct Head of Investigations and Hearings Professional Support Lawyer Casework Managers Senior Case Officers Case Officers
rE44.2	Dismiss a complaint with advice	Experienced Members Director of Professional Conduct Head of Investigations and Hearings Head of Conduct Assessments

P09 – Authorisations under Part 5 of the Handbook - Annex 1

Rule	Function	Authorisation to
rE47	Refer concerns about pupil supervisors to the Inns	Experienced Members Director of Professional Conduct Head of Investigations and Hearings Head of Conduct Assessments
rE54	Refer failures to pay administrative sanctions within relevant time to Disciplinary Tribunal	Director of Professional Conduct Head of Investigations and Hearings Professional Support Lawyer Casework Managers
rE60	Take decision on whether to refer to a three person or five person Disciplinary Tribunal	Office Holders Director of Professional Conduct Head of Investigations and Hearings Professional Support Lawyer Casework Managers
rE62	Recommend that a judge chair a three person Tribunal	Office Holders Director of Professional Conduct Head of Investigations and Hearings Professional Support Lawyer Casework Managers
rE63	Direct that pending charges or disqualification applications be joined with new charges or applications	Office Holders Director of Professional Conduct Head of Investigations and Hearings Professional Support Lawyer Casework Managers
rE64	Direct that the prosecution of charges be expedited	Office Holders Director of Professional Conduct Head of Investigations and Hearings Professional Support Lawyer Casework Managers Senior Case Officers Case Officers
rE65.1	Appoint counsel	Office Holders Director of Professional Conduct Head of Investigations and Hearings Professional Support Lawyer Casework Managers Senior Case Officers Case Officers
rE71	Terminate the determination by consent procedure	Office Holders Experienced Members
rE77	Agree that fines imposed under the determination by consent procedure can be paid in instalments	Office Holder Director of Professional Conduct Head of Investigations and Hearings Professional Support Lawyer Casework Manager

P09 – Authorisations under Part 5 of the Handbook - Annex 1

Rule	Function	Authorisation to
rE90	Reopen or reconsider a complaint	Office Holders Experienced Members Any member acting in the Quality Review Sub-Committee (QRSC) Director of Professional Conduct Head of Conduct Assessments Head of Investigations and Hearings Professional Support Lawyer Casework Managers
rE91	Take decisions following the reopening or reconsideration of a complaint	Office Holders Experienced Members Any member acting in the Quality Review Sub-Committee (QRSC) Director of Professional Conduct Head of Conduct Assessments Head of Investigations and Hearings Professional Support Lawyer Casework Managers
rE93.9	Disclosing the fact of a complaint	Office Holders Director of Professional Conduct Head of Investigations and Hearings Head of Conduct Assessments

Interim Suspension and Disqualification Regulations 2014

Under Regulation rE264 of the Interim Suspension and Disqualification Regulations 2014 (Part 5 D of the BSB Handbook), the Professional Conduct Committee of the Bar Standards Board has made the authorisations set out in the table below.

Rule	Function	Authorisation to
rE268	Consider whether to refer a matter to an interim panel and thereafter make such a referral	Office Holders Experienced Members
rE270	Consider the imposition of an immediate interim suspension	In the absence of the Chair of the PCC: Office Holders (minimum one lay and one barrister)
rE274.3	Provide representations regarding the date for an interim hearing	Office Holders Director of Professional Conduct Head of Investigations and Hearings Professional Support Lawyer

P09 – Authorisations under Part 5 of the Handbook - Annex 1

Rule	Function	Authorisation to
		Casework Managers Senior Case Officers Case Officers
rE275	Deem that an undertaking is satisfactory and accept it	In the absence of the Chair of the PCC: Office Holders Director of Professional Conduct
rE280	Provide representations regarding the convening of a review panel	Office Holders Director of Professional Conduct Head of Investigations and Hearings Professional Support Lawyer Casework Manager

Fitness to Practise Regulations 2014

Under Regulation rE400 of the Fitness to Practise Regulations 2014 (Part 5 E of the BSB Handbook), the Professional Conduct Committee of the Bar Standards Board has made the authorisations set out in the table below.

Rule	Function	Authorisation to
rE304	Carry out any investigation appropriate to the consideration of whether a BSB authorised individual may be unfit to practise	Director of Professional Conduct Head of Investigations and Hearings Head of Conduct Assessments Professional Support Lawyer Casework Managers Senior Case Officers Case Officers Assessment Officers
rE305	Write to an individual notifying them of the receipt of information which raises questions about their fitness to practise	Office Holders Director of Professional Conduct Head of Investigations and Hearings Head of Conduct Assessments Professional Support Lawyer Casework Managers Senior Case Officers Case Officers Assessment Officers

P09 – Authorisations under Part 5 of the Handbook - Annex 1

Rule	Function	Authorisation to
rE306	Consider whether to refer a matter to a Fitness to Practise Panel and thereafter make such a referral	Office Holders Experienced Members
rE316.1	Request that an interim restriction or undertaking be reviewed at a further hearing of a Fitness to Practise panel	Office Holders Director of Professional Conduct Head of Investigations and Hearings
rE324	Refer a matter to be reviewed before a Fitness to Practise panel where there has been a significant change in circumstances	In the absence of the Chair of the PCC: Office Holders Director of Professional Conduct Head of Investigations and Hearings