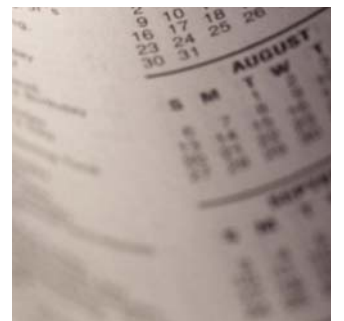


Institute of Legal Executives

# Business Plan 2010-2012



## 1.0 Executive Summary

The Institute of Legal Executives (ILEX) is the professional association which represents 22,000 trainee and practising Legal Executives. Our role is to enhance the role and standing of Legal Executives in the legal profession.

For almost fifty years, we have been offering unparalleled access to a flexible career in law. We work closely with Government and the Ministry of Justice and are recognised in England and Wales as one of the three core regulators of the legal profession alongside barristers and solicitors.

ILEX has branches throughout England and Wales and many members overseas.

## 2.0 Financial Considerations

The period under review is one of considerable challenge and change. The Institute's strategic policy of balancing costs with income will be relaxed necessarily during this period to absorb the additional cost of supporting the Legal Services Board (LSB) and Office for Legal Complaints (OLC) operations. Income levels must be progressively increased over the period to provide the additional £500,000 per annum required by 2012 to fund the ILEX share of LSB and OLC running costs, this cost being shared by those in all membership grades.

The ILEX share of the LSB set-up costs £250,000, together with the estimated shortfall of income over this three-year period £120,000, will be met from reserves accrued for such contingency in previous years. Please see ILEX's three year budget at Appendix 1.

## 3.0 Objectives

- 3.1 To provide an organisation for those who are registered or studying with ILEX who provide legal services and who are a resident in England and Wales or elsewhere
- 3.2 To provide for the education, training and development of knowledge and skills for Fellows, paralegals, legal assistants and other support staff who wish to become experts in the law
- 3.3 To advance and protect the status and interests of Fellows and those who wish to become experts in the law
- 3.4 To promote professional unity, co-operation and mutual assistance amongst those who are employed in the legal profession or engaged in legal work
- 3.5 To promote and secure professional standards of conduct amongst Fellows and those who are registered with ILEX, by publishing codes

of conduct, guides to good practice and the protocol between ILEX and its regulatory body, ILEX Professional Standards (IPS), and regulating the membership through that body to ensure compliance with those standards

- 3.6 To award diplomas, certificates, prizes, scholarships, bursaries or other awards to those who demonstrate knowledge and skills in the law
- 3.7 To promote public interest and fair access to justice and the professions

#### 4.0 The ILEX Vision for 2012

ILEX is regarded by the legal profession, the legal media, Government and relevant institutions and the public, as a modern, well governed membership association, catering for the needs of a range of legal staff, nationally and internationally, and celebrating the career and status of the Legal Executive lawyer.

ILEX is recognised and applauded by the Legal Services Board as a benchmark for proportionate, efficient and good value regulation of individual lawyers and legal services businesses. ILEX is regulating Legal Executive businesses and businesses in which Legal Executive Lawyers are partners and directors.

ILEX is recognised by the Office of the Qualifications and Examinations Regulator (Ofqual) for its awarding organisation function and by the Department of Children Schools and Families and relevant institutions as a benchmark amongst professional membership associations. ILEX will have robust and transparent processes for the development of syllabi, the preparation and marking of assessments and the awarding of legal qualifications, and will do so for an increasing range of qualifications. ILEX will have effective and proportionate arrangements for accrediting prior learning and experience, and for accrediting training and development offered in-house by employers in the legal sector.

ILEX is financially sound. It continues to raise income to support and enhance its activities from membership subscriptions. Significant income is from providing the types of services to members and non-members that such groups are prepared to pay for because of their relevance and good value.

ILEX is firmly established as a provider of legal and legal services related training and development. It will continue to be the leading provider of flexible learning through e-learning developments. ILEX is recognised as the trusted and respected voice championing credible supported distance

learning in all its forms. ILEX will also be creating a favourable reputation as a provider of training and development through more traditional methods.

## 5.0 Organisational Summary

### 5.1 Governance

ILEX is a company limited by guarantee and is governed by elected Council representatives. Council members are drawn from and represent the 12 constituencies in England and Wales. Additional members may be appointed to the Council as Specialist or Co-opted Members to represent particular areas of legal practice or special knowledge.

Council members are responsible for ensuring that the affairs of the Institute are conducted diligently, legally and honestly.

Council makes all the strategic and policy decisions of ILEX as a professional association, which are implemented at an operational level by the Chief Executive and her team of officers and staff (102 in total). See Appendix 2.

The Articles of Association of the Institute regulate in general terms the powers and obligations of the Council, including membership criteria and its number.

### 5.2 Management Summary

ILEX's strategy and policy decisions are implemented and managed by the Chief Executive, supported by a Group Management Team (GMT), managers and staff. The Chief Executive holds fortnightly meetings with individual GMT members. GMT hold monthly meetings to discuss the Business Plan, managers meet formally each fortnight to discuss operational matters which are then relayed to each team. Staff meetings are held on a regular basis.

There are clear lines of communication and responsibility across the Group. Each GMT has a schedule of activities and objectives which relate directly to the Business Plan. These are built in to the Appraisal and Review processes, and cascade down to the appropriate teams and individuals. GMT report formally on progress to the ILEX Council 6 times per year, and through the various Working Parties and Committees that are in place.

### 5.3 Equality & Diversity

Equality & Diversity is about the recognition and valuing of difference in its broadest sense. It is about creating a working culture and practices that recognise, respect, value and harness difference for the benefit of the organisation and the individual.

It is also about creating a fairer society where everyone can participate and has the opportunity to fulfill their potential. It is backed by legislation designed to address unfair discrimination based on membership of a particular group.

ILEX is focused and committed to equality and diversity in relation to the members it represents, the staff it employs and its stakeholders. ILEX published an Equality and Diversity Policy and a Group Single Equality and Diversity Scheme and Action Plan, which sets out our objectives and action plans for the next three years. See Appendix 3.

Summary of Equality & Diversity objectives:

- At all times treats its customers with dignity and respect.
- As an Awarding Body, ILEX will ensure that its qualifications, its standards for accrediting providers of those qualifications, its examinations and other methods of assessment, are designed to make study with ILEX accessible to all, regardless of gender, marital status, family status, sexual orientation, disability, race, ethnicity religion, belief or age.
- ILEX will ensure that it meets its commitment to equality of opportunity by monitoring and evaluating its performance against equality and diversity policy objectives, which will be set annually by the Council.

### 6.0 Services

ILEX offers a range of services, which are accessible to all. We have recently extended our membership grades to offer further flexibility and wider access to those wishing to join us. The ILEX route is the ideal way to obtain a law qualification for school leavers, graduates, legal support staff, paralegals, mature students, career changers and those with family commitments.

Our highly cost-effective qualifications courses offer an accessible route to becoming a lawyer without having to complete a law degree (although graduates of law or non-law subjects can still choose to become a lawyer

using the ILEX route). Entry is accessible to those holding a variety of qualifications at various levels.

Typically those studying through ILEX receive on-the-job training in law firms or in-house legal departments, whilst also attending classes in law and practice at one of our 86 ILEX accredited centres. Our wholly owned subsidiary, ILEX Tutorial College, delivers the ILEX qualifications through world-class supported distance learning.

As a professional association, we actively lobby for change and improvements to the legal system on behalf of our members. Most recently we have secured access to prescribed judicial appointments for our Fellows. We are represented by many Legal Executive Advocates and Legal Executive Partners.

Regulation was listed by our members as one of the key services that ILEX offers. Our newly established regulatory company, IPS, provides such independent regulation for our Legal Executive lawyers, and monitors our Code of Conduct and Fitness to Practice activities. It is governed by an independent Board, Chief Executive and team of staff. See Appendix 4.

ILEX is committed to becoming a regulator for the full range of reserved legal activities and a licensing authority for Alternative Business Structures (ABS).

Members of ILEX receive access to a wide range of benefits, including the award winning monthly Legal Executive Journal magazine. Members have personalised access to the MYILEX website, enabling online CPD recording, subscription renewals and much more.

## 7.0 The ILEX Qualifications

ILEX offers a full range of qualifications in law and legal practice at all levels for both those already working in the legal profession, and those who wish to start their career in law. We also offer qualifications for those members wishing to become advocates.

ILEX offers a range of qualifications which can enable a student to become a fully qualified lawyer and a member of the Institute.

### 7.1 Training for non-lawyers

In conjunction with City and Guilds which is the awarding organisation, ILEX offers an extensive range of qualifications at Levels 2 and 3 for paralegals, legal secretaries and those in other

legal support roles where knowledge of the law is needed. These qualifications are available for study at 114 approved City & Guilds centres nationwide. They offer a flexible route with no entry requirements (although a Grade C or above in English Language GCSE is desirable) and are assessed by task based assignments.

## 7.2 Training to become a Legal Executive lawyer – Level 3

The ILEX Level 3 Professional Diploma in Law and Practice is the first stage of the academic training needed to become a Legal Executive lawyer. It is aimed at anyone wishing to qualify as a legal executive lawyer who holds no prior legal qualifications. It is ideal for career changers interested in entering the legal profession, law clerks, senior legal secretaries, unqualified paralegals seeking to gain a recognised legal qualification. It is set and assessed at Level 3 equivalent to A' level standard (each unit is worth seven Level 3 credits on the Qualifications and Credit Framework). Individual or groups of units are useful for a wide range of individuals who don't wish to become a lawyer.

## 7.3 Training to become a Legal Executive lawyer – Level 6

The ILEX Level 6 Professional Higher Diploma in Law and Practice is the second stage of the academic training needed to become a Legal Executive lawyer. The Professional Higher Diploma in Law and Practice comprises six units chosen from 23 in law, practice and professional skills. It is set and assessed at Level 6 equivalent to Honours degree level.

## 7.4 Fast- Track Diploma – Law Graduates

The ILEX Graduate 'Fast-Track' Diploma is aimed at those who already hold a qualifying law degree awarded within the last seven years. Exemptions are given and students are required to pass two Level 6 Practice units and one Professional Skills unit.

## 7.5 Careers and training for qualified staff & fee earners

ILEX offers qualifications for those wishing to pursue further ambitions, such as becoming a Partner in a firm, or training to become a Legal Executive Advocate or a Solicitor.

Additionally ILEX can also offer specialist in-depth training in the form of the ILEX Level 6 Single Subject Certificate. The certificates are ideal for qualified or unqualified personnel (working in a legal or quasi-legal environment) who wish to increase their specialist in-

depth knowledge of a particular legal subject or professional skills, for example:

- solicitors or legal executives entering a new area of practice
- unqualified fee earners in specialist law firms
- managers outside the legal profession.

#### 7.6 The ILEX Qualifications Strategy 2010 – 2012:

- Successful satisfaction of a variety of critical regulatory requirements;
- Continued communication and support for students, centres and employers in relation to the opportunities provided by the new qualifications;
- Continued improvement to the systems and processes necessary to deliver the qualifications effectively;
- Positioning of ILEX and its provision to take advantage of a fast-evolving funding and vocational qualification context;
- Formalisation, expansion and delivery of related projects, i.e. work-based learning and Customised Awards.
- Consolidating the ILEX qualifications.

#### 8.0 Membership of our Professional Association

ILEX offers accessibility and flexibility to all, through a wide variety of membership grades and accompanying benefits. There are clear progression routes for those members wishing to qualify as Legal Executive lawyers, and additional choices for those wishing to extend their legal knowledge and skills.

Accompanying the monthly Journal publication, members can take advantage of a range of affinity products and services, offering exclusive discounts and savings from leading suppliers. ILEX also has a Benevolent Fund, which is available to those members who find themselves in sudden financial hard-ship.

#### 8.1 The ILEX Membership Strategy 2010 – 2012:

- New membership grades to make access wider and transparent

- Continue to use technology to drive down costs through efficiency gains
- Increase knowledge of the business by continuing to promote relevant qualifications both in the administrative (includes customer service) and legal field to staff
- To tip the activities of the department from reactive to proactive in dealing with our members
- To support the careers aspirations of all our members
- To provide support to other Group functions that require changes to the Membership Database
- To provide pastoral support for the branch network
- Provide appropriate regional points of contact through the Regional Liaison Officers
- Provide a Continuing Professional Development information and data collection portal through the ILEX website
- Provide relevant timely and accurate information to Careers Services and other agencies on the route to becoming an ILEX lawyer
- Provide advice and encouragement to members to progress through the ILEX membership grades to achieve their optimum potential
- To develop products that enhance the value of membership

## 9.0 Overseas development

For the period of this Business Plan, the international strategy will be to build upon the progress made throughout the Caribbean and other Commonwealth jurisdictions relating to the promotion of the ILEX suite of programmes. In particular, the Legal Studies Level 2 and the Legal Secretary programmes have been designed in such a way that provides access to an ILEX qualification in those countries whose jurisdictions differ from England and Wales. The Legal Secretarial programmes based on the National Occupational Standards (NOS) in Administration are

increasingly considered as the international benchmark for secretaries and administrators working in the legal environment.

Profile raising will continue throughout the commonwealth, through our membership of the Commonwealth Lawyers Association (CLA) and other activities which promote ILEX as a rigorous awarding organisation.

## 10. Regulation by ILEX as an Approved Regulator

ILEX established IPS as an independent company during 2008. Whilst ILEX is an approved regulator under the Legal Services Act 2007, it has delegated its regulatory functions to IPS. The companies manage their working relationships through a set of Protocols and a Service Level Agreement, which allow IPS to fulfill its obligations independently. See Appendix 5.

IPS manages the ILEX advocacy qualification programme. It is supporting ILEX in preparing the applications which ILEX needs to make to the LSB to become an approved regulator in respect of the full range of reserved legal activities and to become a Licensing Authority under the Legal Services Act.

### 10.1 Overriding principles of IPS

- underpin the rule of law and the administration of justice
- maintain clear independence of sectoral interests
- develop our understanding of the needs of those for whom legal executive lawyers provide services
- work in close partnership with ILEX to support effective professional development and the provision of consistently good professional practice
- act proportionately, targeting risk
- demonstrate proper governance and good value for money
- act in accordance with the regulatory principles set down in legislation.

### 10.2 Key aims of IPS

The work of IPS has been split into six areas of responsibility, namely:

- Education and standards
- Registration and accreditation
- Fitness to practise
- Governance and process
- Performance and risk
- Visibility and image

11. The ILEX Marketing and Communications Strategy 2010 - 2012

The next three years will be our most challenging yet. We will continue to build upon our success by extending further our PR activity, making the ILEX route as accessible as possible to everyone. The following projects will be delivered:

- Issue external ILEX press releases (on average 40 annually, both nationally and regionally)
- Raise the profile of the ILEX route to becoming a regulated and qualified lawyer amongst the general public
- Raise the profile of the ILEX route to becoming a regulated and qualified lawyer, or a career in law, amongst those deciding their career options, their parents, as well as careers advisors and the educational community in general through web activity ([www.ilexcareers.org.uk](http://www.ilexcareers.org.uk)), careers brochures and flyers, editorial/advertorial, press work and other campaign methods
- Raise awareness of ILEX and an understanding of the skills and expertise of Legal Executives as qualified lawyers amongst professionals through web activity, careers brochures, editorial/advertorial, press work and other campaign methods
- Raise the profile of the ILEX President within the legal and public sector through gala lunches and receptions
- Provide a monthly press cuttings monitoring service to inform internal ILEX personnel on key trends of an educational, political, social and technological nature which affect ILEX and the sector

- Encourage high standards amongst ILEX members by designing and delivering medals and awards ceremonies, both confined to the membership and amongst other groups of lawyers or professionals
- Deliver workshops and conferences of interest to ILEX members to encourage CPD and refresh/enhance learning
- Support the Employers Project team, and other emerging focus groups
- Support and advise the regulatory company, IPS
- Undertake research amongst members, stakeholders and the public to inform and guide ILEX Group strategy
- Produce corporate communications materials, such as Annual Reports

## 12. Employers

ILEX recognises the importance of developing its relationships with employers, many of whom support our members through their ILEX qualifications. An Employer Project Group was established for 2009, the strategic objectives for which are set on an annual basis. For 2010, the key objectives are as follows:

- CRM: review communications to ensure marketing and sales opportunities are maximised, and co-ordinated
- Create a combined ILEX Group marketing pack aimed at a range of employers
- Research: Host three employer focus groups in the second quarter of 2010

## 13. The ILEX Qualification

Over the past 3 years the ILEX professional qualification has been reviewed and is accredited as a unitised qualification at Level 3 and Level 6 on the Qualifications and Credit Framework (QCF).

There are fairly low barriers to entry within our sector. The Awards team, to meet competition from new entrants, and indeed from what has proven to be a slow movement by law firms to develop in-house training, is able to accredit third party training. ILEX is also able to offer progression onto the ILEX unitised qualification through exemptions. The new unitised flexible qualification structure now enables ILEX as an Awarding organisation to

meet a much more diverse range of needs. The inclusion of two professional skills units in legal research and client care skills at both Levels 3 and 6 potentially makes combinations of units much more attractive to those who do not necessarily wish to qualify as Legal Executives but who wish to have demonstrable skills based qualification.

The Awards team is also developing opportunities to enable the Level 3 qualification to be an additional learning part of the recently launched Business, Administration Diploma which will be primarily delivered in schools.

ILEX will continue to monitor and proactively respond to any activity within the sector, which may have an impact on our qualifications and/or membership.

#### 14. ILEX – Three Year Strategy and Implementation Summary

The above sections have provided more detailed discussion of our strategic intentions for the three years ending December 2012, they can be summarised as follows:

- To ensure that ILEX's professional qualification remains relevant to the needs of law firms, legal departments, employers and clients and that it is delivered to national standards
- To develop our role as the natural home for all those seeking education, training or qualification relevant to their role in the legal environment
- To make ourselves more relevant to our members through the services we provide and by seeking new professional opportunities for members
- To develop our role in the public interest as an efficient and respected professional association and regulator of legal services
- To extend our international reach through the delivery of our qualification to other jurisdictions, increasing access to the legal profession
- To strengthen our relationships with a range of employers in the legal services market, aligning our products and services to the requirements of the market
- To raise awareness of ILEX, the ILEX route and the skills of our members amongst the professions and more widely to the public

- To increase accessibility and diversity amongst the legal profession
- To enhance our focus on customer service

We will deliver this three year strategy using five key focus areas, namely:

- Engagement with employers
- Having a commercial focus
- Internationalisation
- Increasing the profile of the membership and of ILEX
- Membership engagement and customer service

Each of these five key focus areas are supported by supplementary commercial plans to include, objectives, activities and milestones for 2010 – 2012.

## APPENDICES

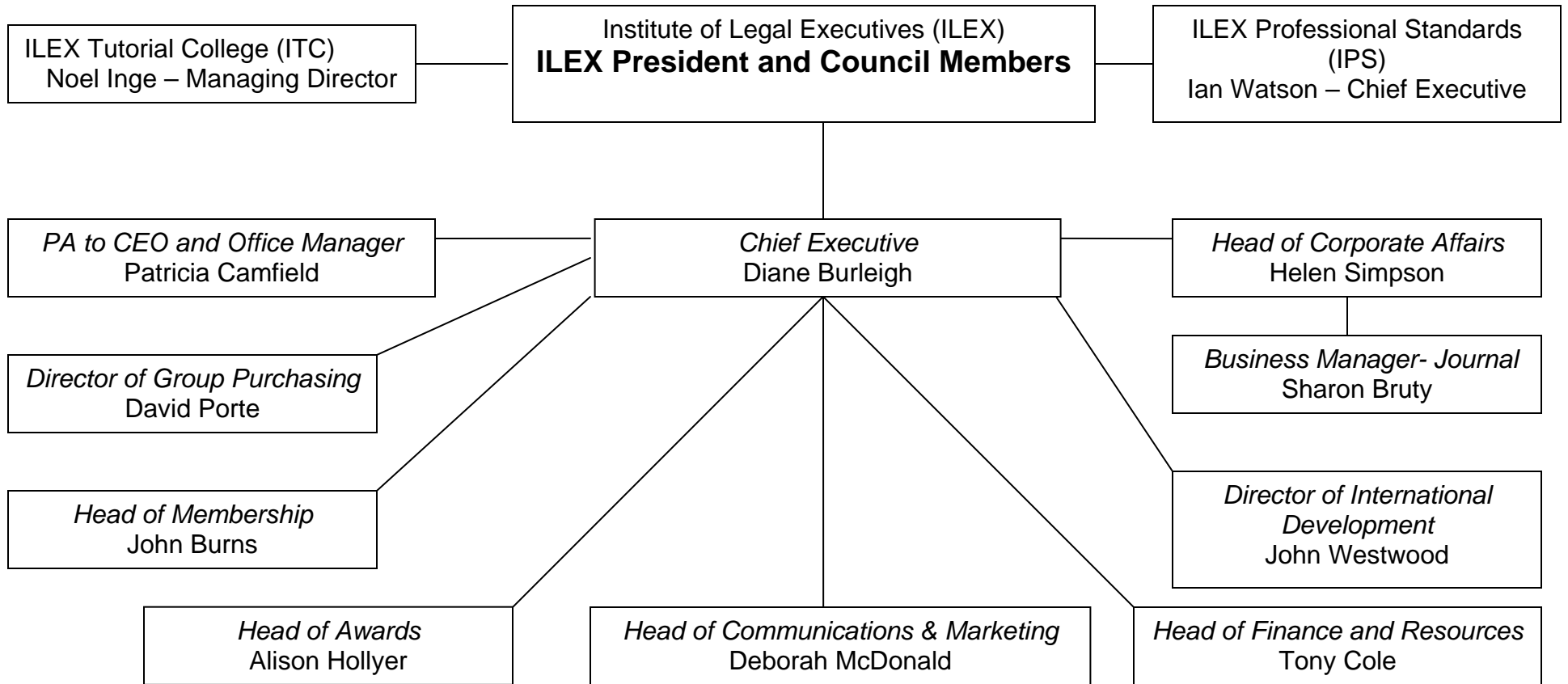
1. ILEX Three Year Budgets for 2010 – 2012
2. ILEX Group Organisational Chart
3. ILEX Group E&D Action Plan and Scheme
4. IPS Governance Chart
5. IPS and ILEX Protocols and Service Level Agreements

## Appendix 1 – ILEX 3 year budgets

	Budget 2010				Budget 2011				Budget 2012			
	Reg	PP*	Other	Total	Reg	PP	Other	Total	Reg	PP	Other	Total
	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
<b>Income:</b>												
Practising Fees - Fellows	1540	0	0	1540	1694	0	0	1694	1762	0	0	1762
Membership Fees	0	0	1293	1293	0	0	1422	1422	0	0	1479	1479
Assessment Income	0	670	0	670	0	890	0	890	0	917	0	917
Awarding Body Income	0	93	232	325	0	96	239	335	0	99	246	345
Training	18	0	2430	2448	19	0	2623	2641	19	0	2822	2841
	1558	763	3955	6276	1713	986	4284	6983	1781	1015	4547	7343
<b>Expenses 1 - By Type</b>												
LSB Fees	145	0	0	145	325	0	0	325	335	0	0	335
OLC Fees	0	0	0	0	125	0	0	125	250	0	0	250
Operating Expenses	529	633	1147	2309	578	719	1201	2498	595	741	1257	2593
Salaries	737	982	1567	3286	759	1011	1614	3385	782	1042	1663	3486
Administrations Expenses	199	302	544	1045	205	311	561	1076	211	320	578	1109
Sub total	1610	1917	3258	6785	1992	2041	3376	7409	2173	2103	3497	7773
less Departmental Income	20	40	262	322	21	41	270	332	21	43	278	342
	1589	1877	2997	6463	1971	2000	3106	7078	2152	2060	3220	7431
<b>Expenses 2 - By Department</b>												
ILEX Professional Standards	506	0	0	506	521	0	0	521	537	0	0	537

\* Permitted Purposes

ILEX Membership Department	187	374	83	643	192	385	85	662	198	396	88	682
ILEX Awards & International Department	345	691	205	1241	389	778	211	1378	401	801	217	1420
ILEX Journal	28	56	251	334	29	57	258	344	30	59	266	354
ILEX Corp. Affairs Department	67	133	15	215	69	137	15	221	71	142	16	228
ILEX Communications & Marketing Department	99	199	34	332	102	205	35	342	106	211	36	352
ILEX Central Resources	357	425	166	948	669	437	171	1277	810	451	176	1437
ILEX Tutorial College	0	0	2244	2244	0	0	2331	2331	0	0	2421	2421
	1589	1877	2997	6463	1971	2000	3106	7078	2152	2060	3220	7431
<b>Net Group Expenses</b>	<b>1589</b>	<b>1877</b>	<b>2997</b>	<b>6463</b>	<b>1971</b>	<b>2000</b>	<b>3106</b>	<b>7078</b>	<b>2152</b>	<b>2060</b>	<b>3220</b>	<b>7431</b>
<b>Group Income</b>	<b>1558</b>	<b>763</b>	<b>3955</b>	<b>6276</b>	<b>1713</b>	<b>986</b>	<b>4284</b>	<b>6983</b>	<b>1781</b>	<b>1015</b>	<b>4547</b>	<b>7343</b>
<b>Net Surplus/(Deficit)</b>	<b>-31</b>	<b>-1114</b>	<b>958</b>	<b>-187</b>	<b>-259</b>	<b>-1014</b>	<b>1178</b>	<b>-95</b>	<b>-371</b>	<b>-1044</b>	<b>1327</b>	<b>-88</b>

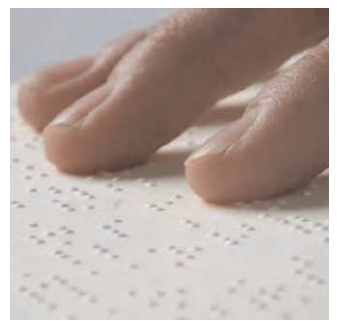


## Appendix 2 – ILEX Group Organisational Chart

Council is responsible for strategic matters.  
The Chief Executive is responsible to Council for operational matters.

**Institute of Legal Executives Group**

# Single Equality & Diversity Scheme & Action Plan 2008



# **ILEX GROUP SINGLE EQUALITY AND DIVERSITY SCHEME AND ACTION PLAN**

**The Single Equality Scheme incorporates the Race Equality Scheme, the Disability Equality Scheme and the Gender Equality Scheme. It also includes a commitment to eliminate unlawful discrimination on the grounds of age, religion or belief and sexual orientation.**

## **1. INTRODUCTION**

ILEX is required to promote race, disability and gender equality. These duties were introduced in different years but have been brought together in this Scheme and Action Plan. The legislation set out general duties to:

- eliminate unlawful discrimination
- eliminate unlawful harassment
- promote equality between staff
- take steps to take account of the needs of staff (for people with disabilities, this can involve treating them more favourably than people without disabilities)
- encourage participation by staff in public life

The legislation set out specific duties to:

- prepare a Single Equality and Diversity Scheme and publish it on the ILEX external website
- include objectives to address the causes of any pay gaps
- analyse data and consider if there are difference in outcomes for the membership, other customers or staff primarily by race, disability and gender but with due consideration of age, religion or belief and sexual orientation.
- consult staff, the membership and other stakeholders including trade unions
- assess the impact of current and proposed policies, procedures and practices on equality and diversity
- implement the actions set out in the scheme within three years (unless impractical to do so)
- report against the scheme every year and review the scheme at least every three years

## **2. RESPONSIBILITIES**

The Council, Chief Executive Officer (CEO); Chief Executive, ILEX Professional Standards Ltd, ILEX General Management Team (GMT); ILEX Tutorial College Senior Management Group (SMG); and all staff are committed to the actions set out in the Action Plan. The Head of Corporate Affairs (HOCA) is responsible for co-ordination and development thereof. The Human Resources Manager (HRM) will assist with all staff issues and The Head of Group Purchasing (HOGP) will assist in all matters relating to procurement.

### 3. ILEX GROUP SINGLE EQUALITY AND DIVERSITY ACTION PLAN 2008-2011

#### 3.1 LEADERSHIP AND STRATEGY: demonstrable commitment inside and outside ILEX Group

	Objective	Actions	Time-scale	Lead Manager(s)
3.1.1	Build equality and diversity into strategy and plans	In Council meetings, management meetings and academic meetings, consider how E&D inputs and outcomes should be incorporated	As meet	Council, CEO and GMT
3.1.2	Equality and diversity objectives for all leaders	E&D objectives to be embedded in strategic and personal objectives immediately and reviewed annually	Immed. Annual	CEO and GMT
3.1.3	Equality and Diversity Champions	Seek volunteers to become Staff Champions, either generally or with specific interests  Set up Focus Group for race, disability and gender issues. Consult with Group members on the E&D Scheme and Action Plan.	By 30.11.08	HOCA and HRM
3.1.4	Maintain diverse Council and Senior Management	Consider current diversity. As vacancies arise, use positive action to bring in more diverse people	On-going	President, CEO

#### 3.2 POLICY, PROCEDURES AND PROCESSES: equality and diversity inputs and outputs mainstreamed

	Objective	Actions	Time-scale	Lead Manager(s)
3.2.1	Policies, procedures and processes assessed through equality impact assessments (EqIAs)	Carry out equality impact assessment screening on all policies, procedures and processes to assess the evidence for some groups being differently affected.  If substantial issues are identified, carry out full equality impact assessments.	Yr 1: high level Yr 2: next Yr 3: least risk	GMT/ SMG HOCA & HRM
3.2.2	Equality Impact Assessments reviewed as	For each equality impact assessment, set a review date as appropriate for the policy, procedure or process	As needed	GMT/ SMG HOCA & HRM

	needed			
3.2.3	Consult staff through Focus Groups	For each equality impact assessment, consult staff on key issues	As EqIA done	GMT/ SMG HOCA & HRM

**3.3 STAFF:** staff understand and are committed to effective management of equality and diversity

	<b>Objective</b>	<b>Actions</b>	<b>Time-scale</b>	<b>Lead Manager(s)</b>
3.3.1	Importance of training is recognised	Provide mandatory E&D training for Council members, Senior Managers and all staff, relevant to their contribution to ILEX	On-going	HRM
3.3.2	Equality and diversity is embedded in processes	Staff are encouraged to embed E&D into all their actions.	On-going	GMT/ SMG/ Line Mgrs & HRM
3.3.3	Person specifications include E&D objectives	All Person Specifications reviewed and modified as necessary to ensure E&D objectives are included.	On-going	GMT/ SMG/ Line Mgrs & HRM

**3.4 PARTNERSHIPS AND RESOURCES:** identified, aligned and deployed to take account of diverse needs of stakeholders

	<b>Objective</b>	<b>Actions</b>	<b>Time-scale</b>	<b>Lead Manager(s)</b>
3.4.1	Increased engagement with groups	Set up virtual membership Focus Groups around race, disability, gender and consult on processes  Set up or strengthen existing employer groups to consult on processes	By 02.09  Ongoing	HOCA with GMT/SMG
3.4.2	Create links with diverse partners	Consider where existing links with diverse partners exist and consult. Identify gaps, create new links and consult	By 03.09	HOCA with GMT/SMG
3.4.3	Funding for priorities (consulting stakeholders)	Council and Senior Managers to consult stakeholders on E&D inputs and outputs before agreeing funding priorities.	Ongoing	HOCA with GMT/SMG and Council
3.4.4	Improve procurement	Review the diversity of suppliers, develop a system for broadening the diversity of suppliers	By 07.09	HOCA with HOGP

**3.5 MEMBERSHIP AND OTHER STAKEHOLDER RESULTS:** systematic information measuring customer satisfaction

	<b>Objective</b>	<b>Actions</b>	<b>Time-scale</b>	<b>Lead Manager(s)</b>
3.5.1	Using all sources	Review all sources giving membership and other stakeholder satisfaction levels. Identify gaps and create new sources as necessary.	By 05.09	HOCA with GMT/SMG
3.5.2	Monitor diversity of customers	Identify all ILEX customers (membership, employers, awarding bodies, Sector Skills Councils, LSCs, Government etc). Monitor the diversity of customers	By 05.09	HOCA with GMT/SMG
3.5.3	Use information to review processes	Use satisfaction results and diversity monitoring to identify actions to improve service, products, activities	By 07.09	HOCA with GMT/SMG

**3.6 STAFF RESULTS:** information shows how the organisation is perceived by diverse staff

	<b>Objective</b>	<b>Actions</b>	<b>Time-scale</b>	<b>Lead Manager(s)</b>
3.6.1	Staff survey includes perception of E&D behaviours	Include perceptions of treatment as a diverse person in the staff survey (management behaviours, staff behaviours, policies, procedures, processes)	By 03.09	HRM
3.6.2	Monitoring HR processes	Monitor by race, disability and gender: disciplinary and grievance processes; absence, resignations, recruitment, promotion, training.	On-going	HRM
3.6.3	Modify processes	When issues identified, modify processes to embed E&D	On-going	HRM

**3.7 SOCIETY RESULTS:** information is gathered showing how ILEX is perceived on equality and diversity

	<b>Objective</b>	<b>Actions</b>	<b>Time-scale</b>	<b>Lead Manager(s)</b>
3.7.1	Working with local communities	Identify appropriate "local" communities for: recruitment, working with employers; working with awarding bodies; working with Government. Consider improving joint working	By 07.09	HRM/HOCA with GMT/SMG
3.7.2	Structured two-way communication	Set up regular two-way communications with the "local" communities	By 08.09	HRM/HOCA with GMT/SMG
3.7.3	Monitoring outcomes	Monitor advice for diversity improvements and implement where appropriate	By 12.09	HRM/HOCA

**3.8 KEY PERFORMANCE RESULTS:** is managing equality and diversity contributing to results and outcomes?

	<b>Objective</b>	<b>Actions</b>	<b>Time-scale</b>	<b>Lead Manager(s)</b>
3.8.1	Complying with standards	Identify standards required of products and services. Consider how best to comply with E&D inputs and outputs. Modify products and services as required	By 03.09	HOCA/HRM with GMT/SMG
3.8.2	Monitoring progress	Set a regular agenda item for Council meetings, Senior Manager meetings and others as appropriate to monitor. Take action as required.	By 07.09	HOCA/HRM with GMT/SMG
3.8.3	Review performance indicators	Council to agree appropriate review dates and implement	By 09.09	Council & CEO

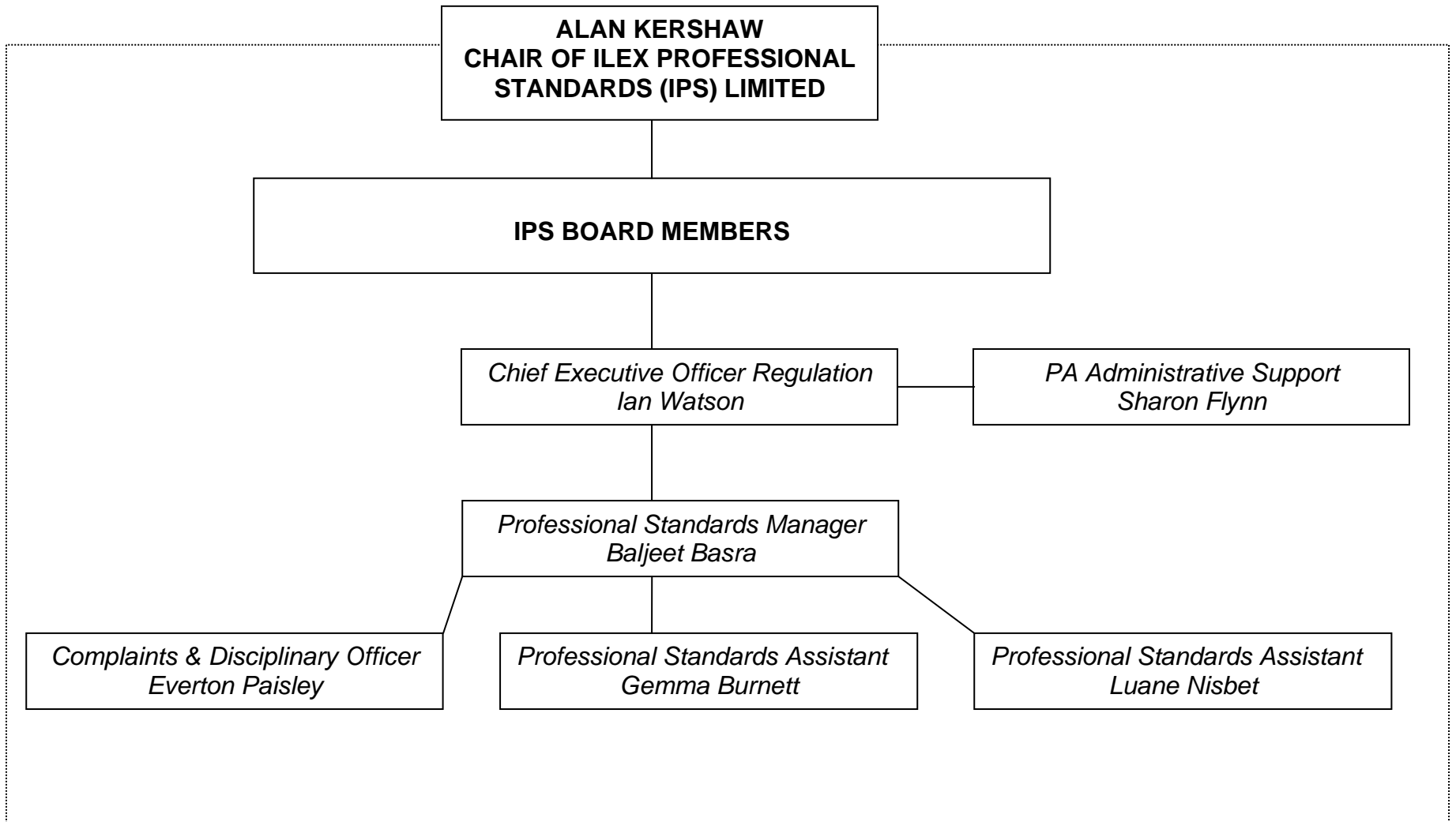


## Institute of Legal Executives Group

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**Appendix 4 – IPS Governance Chart**

## Appendix 5



# Protocols setting out the working relationships between The Institute of Legal Executives and ILEX Professional Standards Ltd

## Introduction

1. This document provides a framework to enable the Institute of Legal Executives (ILEX) and ILEX Professional Standards Ltd (IPS) (jointly 'the Companies') to fulfil their representative and regulatory functions as defined in the Legal Services Act 2007 (the LSA) and in accordance with the Objects of the companies set out in their respective Memoranda of Association.
2. The aim of the Protocols is to facilitate the companies working together to promote and secure high standards of practise by Legal Executives and other members of ILEX in the public interest and to enhance the recognition and standing of Legal Executives and other ILEX members.
3. ILEX is the governing body for Legal Executives and trainee Legal Executives in England and Wales. It is a company limited by guarantee. Its powers and duties derive from the Memorandum and Articles of Association of the Company. ILEX is an authorised body in relation to rights of audience under the Courts and Legal Services Act 1990, an approved regulator under the Legal Services Act 2007 and a designated professional body under the Immigration and Asylum Act 1999.
4. The Objects of ILEX which are relevant to these protocols are set out in Annex 1.
5. IPS has been established by ILEX to regulate the professional conduct of ILEX members, including disciplinary matters. Its Objects contained in its Memorandum of Association are set out in Annex 2 to these protocols. IPS is a wholly owned subsidiary company of ILEX.

## The Legal Services Act (LSA)

6. The LSA requires ILEX as an approved regulator to separate its regulatory and representational functions. ILEX through its Articles has delegated the power to regulate the professional conduct and standards of ILEX members to IPS. The LSA also requires ILEX, and in consequence IPS, to act in a way which is compatible with the regulatory objectives set out in the LSA and to have regard to the principles of good regulation. The regulatory objectives and professional principles contained in the LSA are set out in Annex 3 to these protocols.

7. Under the LSA, as an approved regulator ILEX must ensure: that its regulatory functions are carried out independently, without being prejudiced by its representative functions; that its regulatory body is free to communicate with the Legal Services Board and other legal services stakeholders; and that resources are made available which are reasonably required to enable regulatory functions to be carried out.

### **The Protocol Principles**

8. The Companies will work together to enhance public respect for and confidence in ILEX members and the work they carry out. Together they will ensure continuing compliance with the requirements of the LSA.
9. Relations and communications between the companies will be based upon mutual respect and openness so far as is consistent with their obligations under the LSA, the general law and the public interest.
10. IPS aspires to regulate effectively and efficiently in accordance with the principles of good regulation, which are proportionality, accountability, consistency, transparency and targeting. ILEX will support and assist IPS in becoming an effective and independent regulator of ILEX Fellows and other ILEX members.
11. Each of the Companies will contribute to and support the attainment of objectives set out from time to time in the other's strategy and business plans consistent with the requirements of the LSA. IPS will give due weight to the aspirations of ILEX and its members as expressed through ILEX Council.

### **Finance – *ILEX will make available such resources as are reasonably required and appropriate to enable IPS to carry out its regulatory functions***

12. Each year IPS will prepare a budget for its expenditure in the following year for ILEX to consider in conjunction with its own budget. IPS budget will be based upon the activities and expenditure necessary to carry out its regulatory functions.
13. The Companies will work together to agree a budget which fairly reflects the activities and expenditure which are necessary for IPS to carry out its regulatory functions. Where ILEX cannot agree an IPS budget it will set out its reasons in writing for any variation it proposes. If a revised budget proposed by ILEX is not agreed by IPS, paragraph 31 of these protocols will come into effect
14. ILEX will have regard to a budget agreed with IPS when setting practice, membership and other fees for the following year.
15. IPS will provide information to the ILEX Group Finance Director to enable proper accounts to be maintained. IPS Board of Directors will receive regular reports on its financial performance. ILEX Council will receive a report on IPS finances at each Council meeting.

### **Communications – *Communications between the companies will be based on mutual respect and openness***

16. The Companies will provide information to each other regularly regarding their representational and regulatory work. Each will provide copies of the minutes of their Council or Board meetings to the other. So far as it is practical to do so and is necessary to meet the obligations imposed by the LSA, they will each respond to a reasonable request by the other for information relating to their roles and will do so within 15 working days of a request being received.
17. ILEX will provide support necessary to enable IPS, in carrying out its functions, to communicate with ILEX members, the legal services regulators, consumer groups, legal services employers, relevant parts of the government and civil service and the public. IPS may communicate separately with ILEX members and these stakeholder groups.
18. The Companies will consult with each other whenever either body wishes to review or propose changes to any rules or policies which impact on the leadership, representational or regulatory roles or obligations of the other. Where appropriate they will consult external bodies jointly and will respond jointly to the consultations of external bodies on matters which affect their roles or obligations.
19. Where either of the Companies decides to issue a separate or independent communication on matters likely to affect the other they will inform the other of their intention and reasons for doing so; copy the communication to them; and give a reasonable time for them to comment on the communication.
20. The Companies will share information regarding members including membership records and correspondence where it is necessary to do so to fulfil their respective obligations but only so far as the sharing of information does not contravene any principle or law safeguarding the rights of members or others in relation to data protection or personal privacy.
21. Subject to paragraph 20, the Companies will treat as confidential information each holds about members or others which is not also held by the other, except where it is in the public interest to disclose the information to the other or, in the case of IPS, it is necessary to do so in order to fulfil its obligations under the LSA, its Memorandum and Articles of Association and these protocols, or to meet its general obligations under the law. The public interest will normally be engaged where the information reveals a serious breach of the law or professional ethics or would assist the investigation of crime or fraud.
22. The ILEX 'Whistle blower' policy applies to the staff of both Companies, ILEX Council members and IPS Board members.

**Accountability – ILEX must ensure its regulatory functions are carried out independently**

23. The Chief Executive of ILEX is accountable to the ILEX Council. ILEX employees whose work relates to the leadership and representative functions of ILEX are accountable to the Chief Executive of ILEX. The Chief Executive of IPS is an employee of ILEX but is accountable to the IPS Board of Directors. ILEX employees whose work relates to the regulatory functions of ILEX are accountable to the Chief

Executive of IPS. The Chairman of IPS is accountable to ILEX Council for the performance of IPS.

24. The arrangements for appointing or re-appointing a Chairman or members of the IPS Board are set out at Annexe 4 to these Protocols. They take into account the objectives of the LSA regarding the effective and independent regulation of legal services and the requirements of the Internal Governance Rules made by the Legal Services Board, pursuant to the LSA. Remuneration of the Chair and members of the IPS Board will be dealt with in accordance with Annexe 5 to these Protocols.
25. The performance of the IPS Board members and Chief Executive, during their terms of office will be assessed each year by the IPS Board, in accordance with arrangements which the Board will determine. The performance of IPS employees will be assessed in accordance with arrangements which apply to other ILEX employees. The Companies will agree arrangements for the appointment of a new Chief Executive of IPS.

**Education Standards and Fitness to Practise** – *The companies will work together to promote and secure high standards of practise.*

26. IPS is responsible for checking that arrangements adopted by ILEX and the standards set relating to: qualifications and experience; study and training for ILEX qualifications; assessment of candidates; and continuing professional development are fit for purpose and are capable of securing the minimum standards of competence expected of Fellows, Associates, Graduate Members, Associate Prosecutor Members and other ILEX members.
27. IPS is responsible for setting the standards relating to the personal and professional conduct and continuing fitness to practise of Fellows and other ILEX members. IPS will be responsible for ensuring ILEX members comply with those standards and ILEX will support IPS in doing so.
28. ILEX will not seek to challenge decisions properly made by any of the disciplinary or regulatory bodies subject to oversight by IPS in respect of the conduct, competence or fitness to practise of individual ILEX members.
29. The Companies will work together to develop arrangements for the regulation of legal disciplinary practices and alternative business structures permitted to provide legal services under the LSA and persons owning or managing them. IPS will be responsible for setting standards of conduct and ensuring owners, managers and employees comply with them.

**Services** – *ILEX will make resources available to enable regulatory functions to be carried out.*

30. The Companies will agree a service level agreement in respect of the provision to IPS of the finance, membership records, information technology, communications, post and telephony and human resources services which are reasonably required to enable IPS to carry out its regulatory functions.

## **Resolving differences**

31. Disputes which arise between the Companies, whether in relation to these protocols or otherwise will be resolved by discussions involving the Chief Executives of ILEX and IPS, the President for the time being of ILEX and the Chairman of the IPS Board. Nothing in these protocols prevents either company from referring a dispute which cannot be settled between them to the Legal Services Board or if appropriate to an independent mediator to be resolved. At least 5 working days notice will be given to the other company if either company intends to refer a dispute to the Legal Services Board.

## **Review**

32. These protocols may be reviewed at any time at the request of either ILEX or IPS; and will, in any event, be reviewed formally after one year and, thereafter, at intervals to be agreed between the two companies.

**Mark Bishop**  
**ILEX President**  
**25 February 2009**

**Alan Kershaw**  
**IPS Chair**  
**25 February 2009**

**OBJECTS OF ILEX**

The Objects of ILEX set out in its Memorandum of Association are, amongst other things:

1. To provide an organisation for persons who are Fellows of ILEX, are registered with ILEX, provide or are employed in providing legal services of any kind or any services ancillary to legal services or are registered with ILEX for the purpose of studying or becoming qualified in law or other subjects provided by ILEX;
2. To advance and protect the status and interest of Fellows and other members registered with ILEX;
3. To promote professional unity, co-operation and mutual assistance amongst those who are employed in the legal profession or are engaged in legal work;
4. To promote and secure professional standards of conduct amongst Fellows and those who are registered with ILEX and to regulate Fellows and registered persons in the public interest to ensure compliance with those standards;
5. To provide for the education and training of Fellows and persons who wish to become proficient in the law, including those who wish to qualify as Fellows, in all subjects and skills whether in the law or otherwise; and
6. To recognise and promote proficiency in the law and other subjects by awarding diplomas, certificates, prizes, scholarships, bursaries or other awards and to award such qualification as ILEX may from time to time think fit and to carry out assessment and validation and regulation as may be necessary for such purposes.

**OBJECTS OF IPS**

The Objects of ILEX Professional Standards set out in its Memorandum of Association include the following:

1. To carry out on behalf of ILEX the functions and responsibilities of ILEX as an approved regulator designated as such by the Legal Services Act 2007; and

2. To carry out on behalf of ILEX such functions and responsibilities of ILEX as a regulator of its membership generally as ILEX may from time to time delegate to the Company.

## **PROTOCOLS**

## **ANNEXE 3**

1. The Statutory Objectives set out in the Legal Services Act are as follows:
  1. protecting and promoting the public interest;
  2. supporting the constitutional principle of the rule of law;
  3. improving access to justice;
  4. protecting and promoting the interests of consumers;
  5. promoting competition in the provision of services provided by authorised persons;
  6. encouraging an independent, strong, diverse and effective legal profession;
  7. increasing public understanding of citizen's legal rights and duties; and
  8. promoting and obtaining adherence to the professional principles.
  
2. The professional principles referred to above are:
  1. authorised persons should act with independence and integrity;
  2. authorised persons should maintain proper standards of work;
  3. authorised persons should act in the best interests of their clients;
  4. persons who exercise before any court a right of audience or conduct litigation in relation to proceedings in any court by virtue of being authorised persons comply with their duty to the court to act with independence in the interest of justice; and
  5. the affairs of clients should be kept confidential.

## **PROTOCOLS**

## **ANNEXE 4**

### **Appointment of Chairman and Board Members**

1. The IPS Board will create an Appointments Committee. Membership will be agreed for each appointment, so it is not a standing Committee.
  
2. The Appointments Committee will have delegated authority for the whole process from agreeing an updated information pack including a revised job and person specification, to running the appointment process, including interviewing. Administrative support will be required from the ILEX HR team.
  
3. For the Chairman's appointment, this Committee will include an ILEX Council representative and two IPS Board members, one independent and one legal, supported by the IPS CEO, although (s)he would not be a formal member of the Committee.

4. For Board member appointments the Committee will include the Chairman and one member of the IPS Board, plus the IPS CEO.
5. For all appointments, a member independent of IPS and ILEX would be included within the Committee membership, to give legitimacy and to validate the process. The process for identifying this individual would be agreed for each appointment.
6. The ad hoc nature of the appointment committees gives a useful degree of flexibility, whilst being sufficiently structured to ensure appointments are treated fairly and consistently.

## **Reappointment of Chairman and Board Members**

7. It will be for the Chairman and CEO to agree the reappointment of Board members. The annual appraisals will be the basis for reappointments. The following factors will need to be satisfied for reappointment of Board members:
  - Willingness to be reappointed
  - Satisfactory annual appraisals
  - Acceptable attendance record
  - Continues to meet the person specification for role
  - Has complied with the Code of Conduct for Board members
8. For discussions regarding the reappointment of the Chairman, an Appointments Committee will be created, constituted as set up in the Chairman's appointments process above, to review a similar list of factors and agree the way forward.

*Agreed by IPS Board June 2009*

## **PROTOCOLS**

## **ANNEXE 5**

### **REMUNERATION OF THE BOARD**

The President and CEO of ILEX and the Chair and CEO of IPS will meet each year in May or June, as appropriate, to determine the remuneration of the Chair and members of the IPS Board for the following year. The meeting will take place as part of the budget setting processes of the companies. The Chair of IPS will not take part in any discussion or decision regarding his/her remuneration. Factors which are taken into account in setting the remuneration of the Board members will be taken into account in determining the Chair's remuneration.

Disputes regarding the remuneration of the Chair or Board members of IPS will be determined in accordance with paragraph 31 of the Protocols.

*Agreed by ILEX/IPS march 2010*

## SERVICE LEVEL AGREEMENT

**THIS AGREEMENT** is made on

**2010**

**BETWEEN: ILEX PROFESSIONAL STANDARDS (IPS) and INSTITUTE OF LEGAL EXECUTIVES (ILEX)**

This Service Level Agreement forms the basis of a relationship between ILEX and IPS regarding the provision of services.

The purpose of the Agreement is to lay out the respective roles and responsibilities of each party in the provision of services.

The Agreement facilitates the parties carrying out its respective regulatory and representative functions independently and to ensure that resources are made available which are reasonably required to enable regulatory functions to be carried out.

ILEX has agreed to provide the services to IPS set out in Schedule 1 to 9.

**NOW IT IS HEREBY AGREED** as follows:

### 1. DEFINITIONS AND INTERPRETATION

1.1. In the Agreement the following expressions shall have the following meanings unless the context requires otherwise:

“Agreement”	means this agreement concluded between ILEX and IPS including the: (a) the clauses contained herein; (b) the schedules attached hereto; (c) any other documents which are relevant to the Agreement and expressly incorporated herein as appendices to, and part of, the relevant schedules; and (d) such variations in writing as shall be agreed by ILEX and IPS according to the provisions of Clause 4.
“Effective Date”	means the date of this Agreement;
“IPS Manager”	means IPS Chief Executive or Professional Standards Manager
“Lead Officer”	means any of the following: ILEX Chief Executive, IPS Chief Executive or Head of Corporate Affairs; who oversees the creation, variation, development and management of the Agreement;
“Service”	means the service provided by ILEX to IPS which enables regulatory functions to be carried out;
“Service Levels”	means the standards of Service which ILEX is required to meet in the performance of Services details of which are contained in Clause 7 and Schedules 1 to 9;

- “SLA Manager” means the individual who oversees and/or provides the Service;
- “Working Day” means a day, not being a Saturday, Sunday or Public Holiday

## **2. TERM**

- 2.1. This Agreement shall continue in effect from the Effective Date until the end of the ILEX financial year (the “Expiry Date”).

## **3. RENEWAL AND TERMINATION**

- 3.1. This Agreement shall be renewed at the end of the current term and each succeeding year unless either party gives written notice of its intention not to renew, to the other, to be served no later than 6 months prior to expiration of the current term.
- 3.2. Termination of the Agreement will be subject to the requirements of the internal governance rules made by the Legal Services Board.
- 3.3. In the event that a dispute is not resolved in accordance with Clause 10 either party shall have the right to terminate the Agreement without further notice.

## **4. TERMS OF AGREEMENT**

- 4.1. Throughout the life of the Agreement, variations to the agreement can be proposed, negotiated and implemented as circumstances warrant.
- 4.2. Substantive variations to the Agreement must be approved by the ILEX President and IPS Board Chair before taking effect.
- 4.3. Minor variations to the Agreement will be agreed by the Chief Executives of ILEX and IPS before taking effect.
- 4.4. Variations to the Agreement will be implemented by a Lead Officer.
- 4.5. Conditions that warrant variations to the Agreement include, not wholly and exclusively, changes in business or Service needs, significant variations from agreed Service Levels, unanticipated events or an adjustment in the division of responsibility between the parties.
- 4.6. In the event that variations to the Agreement cannot be agreed, both parties will follow the dispute resolution mechanism in accordance with Clause 10.

## **5. SUB-CONTRACTING**

- 5.1. ILEX shall have the right to subcontract its obligations under the Agreement provided that any such subcontracting shall not increase the burden on ILEX of the obligations accepted by ILEX under this Agreement.
- 5.2. Notwithstanding any sub-contracting permitted hereunder, ILEX shall remain responsible for the acts and omissions of its sub-contractors as though they were its own.

## **6. CHARGES**

- 6.1. Charges will be reviewed on an annual basis when both parties work together to agree a budget which fairly reflects the activities and expenditure which are necessary for IPS to carry out its regulatory functions.
- 6.2. Charges are recoverable on an annual basis in accordance with Clause 6.1 as a result of any variations according to Clause 4.1.

## **7. SERVICE STANDARDS BY ILEX**

- 7.1. ILEX shall provide the Services specified in Schedules 1 to 9.
- 7.2. ILEX's performance of the Services shall be measured in accordance with the methods and procedures set out in Schedules 1 to 9.
- 7.3. ILEX's performance of the Services shall also be measured in accordance with the obligations and responsibilities of IPS described within Clauses, 8.1, 8.3 and 8.4.
- 7.4. ILEX's performance of the Services shall be required to meet any reasonable Service Level and timeframe specified in Schedules 1 to 9 or as otherwise agreed, from the commencement of the Services.
- 7.5. Urgent matters are to be commenced within specifically agreed timeframes from receipt of instructions; such instructions to be approved by an IPS Manager and communicated to the relevant SLA Manager.
- 7.6. If ILEX fails to achieve any Service Level and timeframe as determined under the provisions of Clause 7.2 to 7.4, ILEX shall carry out corrective action agreed at the time between the parties, such agreement not to be delayed or withheld unreasonably.
- 7.7. If, notwithstanding any corrective actions taken in accordance with Clause 7.6, ILEX persistently fails in any material respect, to achieve any Service Level; such failure shall be considered to be a dispute and shall entitle IPS to follow the dispute resolution process in accordance with the provisions of Clause 10.

## **8. OBLIGATIONS AND RESPONSIBILITIES OF IPS**

- 8.1. IPS shall receive the Service specified in Schedules 1 to 9.
- 8.2. IPS's obligations and responsibilities shall be measured in accordance with the methods and procedures set out in Schedules 1 to 9.
- 8.3. IPS shall be obliged to meet any reasonable timeframes specified within the methods and procedures set out in Schedules 1 to 9.
- 8.4. IPS shall provide ILEX with any relevant requests/permission, information/documents and/or equipment within a reasonable timeframe or as otherwise agreed, prior to commencement and during the provision of the Services as required which are necessary to enable the Services to be provided.

**9. MONITORING, REVIEW AND QUALITY ASSURANCE**

- 9.1. The above performance standards will be monitored by the Head of Corporate Affairs who will conduct a quarterly review.
- 9.2. A comprehensive review of performance standards will be conducted at review meetings of this Agreement which will be held annually.
- 9.3. The review meetings will also deal with any quality assurance matters that may require addressing.
- 9.4. ILEX Chief Executive, IPS Chief Executive, and the relevant IPS Manager(s) and SLA Manager(s) shall attend these meetings as required.

**10. DISPUTE RESOLUTION**

- 10.1. If any dispute arises, in relation to the Agreement, the dispute in the first instance will be considered in discussions involving the IPS Manager and the SLA Manager overseeing or providing the Service which is the subject of dispute.
- 10.2. In the event that the parties are unable to settle the dispute in accordance with Clause 10.1 any outstanding issues will be considered in discussions involving the Chief Executives of ILEX and IPS and, if necessary the President of ILEX and the Chair of the IPS Board.
- 10.3. If the parties are unable to settle the dispute in accordance with Clause 10.2, the parties will attempt to settle it by independent mediation or by referral to the Legal Services Board.
- 10.4. To initiate a referral to the Legal Services Board, a party by one of its Lead Officers must give at least 5 days written notice to the other party, before referring the dispute to the Legal Services Board in accordance with Clause 10.3.
- 10.5. On commencement of independent mediation, no party may commence referral to the Legal Services Board until independent mediation has terminated.
- 10.6. Either party may refer a dispute to the Legal Services Board before referral to independent mediation.

**11. THIRD PARTIES**

- 11.1. Nothing in this Agreement confers or purports to confer on any third party any benefit or any right to enforce any term in this Agreement.

**12. SERVICE LEVEL AGREEMENT SIGNED BY**

..... ILEX President

..... IPS Board Chair

## SCHEDULE 1

### HUMAN RESOURCES

#### Service Specification

<b>Service:</b>	<b>Service Level/Timeframe:</b>
<ol style="list-style-type: none"><li>1. Sickness Absence Recording</li><li>2. Sickness Absence Reports – Bradford Score</li><li>3. Advice on handling sickness absence</li><li>4. Information to Payroll</li><li>5. Recruitment of Staff</li><li>6. Assisting with recruitment of IPS Board Members</li><li>7. Staff Induction</li><li>8. Advice on performance management</li><li>9. Advice on handling disciplinary/grievance</li><li>10. Arranging training</li><li>11. Training Needs Analysis</li><li>12. Calculation of holiday entitlement</li><li>13. Holiday cards</li></ol>	<ol style="list-style-type: none"><li>1. Monthly *</li><li>2. Monthly *</li><li>3. Ad hoc *</li><li>4. Monthly #</li><li>5. Ad hoc #</li><li>6. Ad hoc #</li><li>7. Ad hoc #</li><li>8. Ad hoc #</li><li>9. Ad hoc #</li><li>10. Ad hoc #</li><li>11. Annual +</li><li>12. Annual +</li><li>13. Annual +</li></ol>
<p><b>Methods and Procedures:</b></p> <ul style="list-style-type: none"><li>• HR department to liaise with IPS in order to provide the services above.</li></ul> <p>* In order to provide the above services ILEX will need to receive from IPS sickness absence records on monthly basis.</p> <p># In order to provide the above services ILEX will need to receive from IPS details of staff salary, appointments and training, staff performance information and disciplinary/grievance requirements, on an ad hoc basis.</p> <p>+ In order to provide the above services ILEX will need to receive from IPS training requirements, holiday cards and holiday entitlement calculations on annual basis.</p>	
<p><b>Policy Application (Policies that apply to both ILEX and IPS):</b></p> <ul style="list-style-type: none"><li>• Equality &amp; Diversity Policy</li><li>• Grievance Policy</li><li>• Disciplinary and Dismissal Policy</li><li>• General Dismissal Policy</li><li>• Capability Policy</li><li>• Sickness Absence Policy</li></ul>	

- Learning & Development Policy
- Personal Harassment & Bullying
- Whistleblowers Policy
- Staff Members Expenses Policy
- Code of Conduct
- Electronic and Telephonic Communications Policy
- Health & Safety Policy
- Car Drivers Policy

**Charge:**

- As per 2010 Financial Budget

**SLA Manager:**

- HR Manager for ILEX Group

**SCHEDULE 2**

**FINANCE**

**Service Specification**

<b>Service:</b>	<b>Service Level/Timeframe:</b>
1. Staff payroll administration	1. Monthly *
2. Staff expense claims and Board invoices administration	2. Weekly *
3. Credit card administration	3. Weekly *
4. Vehicle administration	4. As required *
5. Preparation of Management Accounts	5. Monthly #
6. Preparation of Budget statements	6. Annually #
7. Audit and Preparation of Statutory Accounts	7. Annually #
8. Processing of Customer invoices	8. Weekly #
9. Processing and payment of Supplier invoices	9. Weekly #
10. Completion of Group VAT returns	10. Quarterly #
11. Bank statement reconciliation	11. Weekly +
12. Sales Ledger reconciliation	12. Weekly +
13. Cash management routines	13. Weekly +
14. Petty Cash reconciliation	14. Monthly +
15. Direct Debit Collections	15. Monthly +
16. Debt Chasing	16. Monthly +
17. Management of fixed assets	17. Monthly +
18. Year end payroll administration	18. Annual +
19. Group VAT annual adjustment calculation	19. Annual +
20. Liaison with auditors	20. Annual +

21. Management of Group insurance covers 22. Administration of AA cover for company vehicles 23. Preparation of Annual Report 24. Corporation tax reconciliation and payment	21. Annual + 22. Annual + 23. Annual + 24. Annual +
<b>Methods and Procedures:</b> <ul style="list-style-type: none"> <li>• Finance department to liaise with IPS when necessary in order to provide the above services</li> <li>* Provided directly to IPS staff in conjunction with services provided to all staff</li> <li># Provided directly to IPS in conjunction with services provided to all departments</li> <li>+ Shared provision of general Finance activities</li> </ul>	
<b>Policy Application (Policies that apply both to ILEX and IPS):</b> <ul style="list-style-type: none"> <li>• Staff expenses policy</li> </ul>	
<b>Charge:</b> <ul style="list-style-type: none"> <li>• To be assessed on figures per 2010 Financial Budget</li> </ul>	
<b>SLA Manager:</b> <ul style="list-style-type: none"> <li>• Director of Finance and Resources</li> </ul>	

### SCHEDULE 3

### INFORMATION TECHNOLOGY

#### Service Specification

<b>Service:</b> <ol style="list-style-type: none"> <li>1. Hardware equipment - desktop PC's, printers, laptops equipment and related consumables.</li> <li>2. Network facilities including – storage/email/security, local and wide area (wireless and Internet) infrastructure and connectivity.</li> <li>3. Management Information System (MIS) software– Concept CRM, includes system (applications and services supported by IRIS), Data and admin support via IT.</li> <li>4. Other Client Software – Security/Anti-virus, MS-Office, Acrobat, Browsers, CMS editors.</li> <li>5. IT Management/development support including MIS/Web/IT development advisory, project and programme management &amp; implementation.</li> </ol>
<b>Service Level/Timeframe:</b> <ul style="list-style-type: none"> <li>• Hardware equipment provided on standard replacement 4 year depreciation.</li> <li>• Provide '1<sup>st</sup> line' support for all the above.</li> <li>• Contracts for core systems including MIS (Concept), Web services and SAGE are in place.</li> <li>• Access to an IT helpdesk on a daily basis during office hours and out of office as required.</li> <li>• MIS Software developments in accordance with what is decided by the MIS Strategy Group.</li> </ul>

- Provide related consumables upon request.

**Methods and Procedures:**

- ILEX and IPS to attend MIS Strategy Group meetings; the mechanism by which IT work/projects are timetabled and prioritised.
- IT department to respond to requests for hardware equipment and IT queries.

**Policy Application (Policies that apply to both ILEX and IPS):**

- Electronic and Telephonic Communications Policy

**Charge:**

- As per 2010 Financial Budget

**SLA Manager:**

- Head of Group IT

**SCHEDULE 4**

**PROCUREMENT**

**Service Specification**

**Service:**

1. In-house and out of house facilities for print procurement.
2. Support contracts with Xerox and Oce for the maintenance of the printing machines.
3. Access to suppliers, manufacturers and service providers with whom ILEX and subsidiary companies have long standing arrangements.

**Service Level/Timeframe:**

- Provide '1<sup>st</sup> line' technical and professional support.
- Provide '1<sup>st</sup> line' helpdesk support.
- Provide customer account management and changing arrangements.
- Provide varied and diverse range of products and services including printed matter, confidential print in-house, motor vehicles and stationery.

**Methods and Procedures:**

- In-house facilities for print procurement provided by ILEX staff.
- IPS to give in-house printing department reasonable notice in relation to printing requirements.
- Procurement department to liaise with IPS in relation to products and services.

- Printed matter and stationery to be provided/ordered on request by IPS.

**Charge:**

- As per 2010 Financial Budget

**SLA Manager:**

- Director of Group Purchasing

**SCHEDULE 5**

**FACILITIES**

**Service Specification**

<b>Service:</b>	<b>Service Level/Timeframe:</b>
<ol style="list-style-type: none"> <li>1. Accommodation</li> <li>2. Post room and DX mail services</li> <li>3. Telecoms</li> <li>4. Reception</li> <li>5. Utilities</li> <li>6. Cleaning</li> <li>7. Gardening</li> <li>8. Car Parking</li> </ol>	<ol style="list-style-type: none"> <li>1. 4 managed and fully furnished offices on a daily basis, use of meeting rooms as required.</li> <li>2. Daily collection and delivery service to include postage costs allocated to IPS code.</li> <li>3. 5 Siemens Dect cordless telephones, 1 fax machine, 2 mobile phones, 1 photocopier. Telecoms support available via Facilities and IT department.</li> <li>4. Daily service for staff, visitors, IPS Board members, to include call diverting from switchboard, message handling.</li> <li>5. Electricity, gas, water, daily use of kitchen facilities, fire safety equipment, first aid</li> <li>6. Cleaning – daily service provided by third party.</li> <li>7. Gardening – ad hoc services provided by third party to ILEX Group.</li> <li>8. Cars/Car Parking – One company vehicle, daily parking for IPS Staff, ad hoc parking for IPS visitors.</li> </ol>

**Methods and Procedures:**

- The above services are made available to IPS and supported by ILEX Facilities.
- IPS to give reasonable notice of meeting requirements.
- Post, DX mail and reception services provided by ILEX staff and managed by the Office Manager.
- Utilities, cleaning and gardening services provided by third parties.
- Mobile phone contracts to be managed by IPS.

- Photocopier provided as a shared facility for unlimited use.
- Maintenance of car park provided by ILEX staff.

**Charge:**

- As per 2010 Financial Budget

**SLA Manager(s):**

- Director of Group Purchasing
- Office Manager

**SCHEDULE 6**

**MARKETING AND COMMUNICATIONS**

**Service Specification**

<p><b>Service:</b></p> <ol style="list-style-type: none"> <li>1. IPS Website</li> <li>2. Content Management System and hosting</li> <li>3. Code of Conduct brochure and IPS Banner</li> <li>4. Administration of Oaths leaflet</li> <li>5. IPS Launch Event and PR coverage</li> <li>6. Annual Report</li> <li>7. IPS Brochure</li> <li>8. Publicity and public relations</li> </ol>	<p><b>Service Level/Timeframe:</b></p> <ol style="list-style-type: none"> <li>1. Support on an ad hoc basis</li> <li>2. On ad hoc basis with training for relevant IPS staff, supported by Marketing &amp; Communications and IT Departments</li> <li>3. Design, print and distribute by Spring 2010, supported by Marketing &amp; Communications and Journal Departments</li> <li>4. As required</li> <li>5. Scheduled for March 2010, supported by Marketing &amp; Communications Department and external PR Agency</li> <li>6. Annual</li> <li>7. Annual</li> <li>8. Advise and action as required</li> </ol>
<p><b>Methods and Procedures:</b></p> <ul style="list-style-type: none"> <li>• Timing and resource input by Marketing and Communications department to be decided when required.</li> <li>• Marketing and Communications department to support the IPS website in liaison with IPS.</li> <li>• IPS to manage content in liaison with Marketing and Communications department.</li> <li>• IPS to give Marketing and Communications department reasonable notice in relation to publicity and press releases.</li> </ul>	

- ILEX to advise IPS on how to deal with press and stakeholders.

**Charge:**

- As per 2010 Financial Budget

**SLA Manager:**

- Head of Communications and Marketing

**SCHEDULE 7**

**LEGAL EXECUTIVE JOURNAL**

**Service Specification**

<p><b>Service:</b></p> <ol style="list-style-type: none"> <li>1. Use of Legal Executive Journal publication</li> <li>2. Editorial support</li> <li>3. Direct mailings to members and other stakeholders</li> </ol>	<p><b>Service Level/Timeframe:</b></p> <ol style="list-style-type: none"> <li>1. 1½ - 2 pages per monthly issue, additional advertising space as required to, include notices, inserts, recruitment and advertisements.</li> <li>2. Ad hoc, supported by Journal department</li> <li>3. Supported by the Marketing &amp; Communications and Journal departments.</li> </ol>
<p><b>Methods and Procedures:</b></p> <ul style="list-style-type: none"> <li>• The above services are made available to IPS and supported by Journal department.</li> <li>• Journal department to liaise with IPS in order to provide the services above.</li> <li>• IPS to meet publication deadlines and to produce material for publication.</li> <li>• IPS to keep the Legal Executive Journal Editor informed.</li> </ul>	
<p><b>Charge:</b></p> <ul style="list-style-type: none"> <li>• As per 2010 Financial Budget</li> </ul>	
<p><b>SLA Manager:</b></p> <ul style="list-style-type: none"> <li>• Journal Business Manager</li> </ul>	

## SCHEDULE 8

### MEMBERSHIP

#### Service Specification

<b>Service:</b>	<b>Service Level/Timeframe:</b>
<ol style="list-style-type: none"><li>1. Collect and record information regarding declarations of Prior Conduct and or contacts concerning complaints and allegations.</li><li>2. Refer applications where declarations are made or information where allegations are made to IPS.</li><li>3. Record on the database when any matter is declared or disclosed and the date when referred to IPS.</li><li>4. Check disciplinary records of applicants for Fellowship.</li><li>5. Maintain accurate membership records.</li><li>6. Provide information to IPS about members or other contacts and make checks to database and paper records.</li><li>7. Provide statistics for membership, including equality and diversity information.</li><li>8. Maintain records of qualifying employment waiver applications, decisions and reasons.</li><li>9. Maintain records of CPD on membership database.</li><li>10. Provide the number and grades of members who have not complied with the requirement to record relevant CPD.</li><li>11. Provide resources (people/admin) to secure CPD compliance by members.</li><li>12. Provide details to IPS of members who have not complied or have not made arrangements to comply with CPD requirements.</li></ol>	<ol style="list-style-type: none"><li>1. Within 1 working day of receipt</li><li>2. Within 2 working days of receipt</li><li>3. Within 1 working day of receipt</li><li>4. Every application when received</li><li>5. Ongoing</li><li>6. Within 5 working days</li><li>7. Monthly</li><li>8. Ongoing</li><li>9. Ongoing</li><li>10. Annual, by end of February</li><li>11. By end of May</li><li>12. By mid-June</li></ol>
<p><b>Methods and Procedures:</b></p> <ul style="list-style-type: none"><li>• The above services are provided to IPS and supported by Membership department.</li><li>• Membership department to liaise with IPS in order to provide the services above.</li><li>• IPS and ILEX will share information regarding members including membership records and correspondence where it is necessary to do so to fulfil their respective obligations, or so far as the sharing of information does not contravene any principle or law safeguarding the rights of members or others in relation to data protection or personal privacy.</li><li>• The parties will treat as confidential information each holds about members or others which is not also held by the other, except where it is in the public interest to disclose the information to the other or, in the case of IPS, it is necessary to do so in order to fulfil its obligations under the Legal Services Act 2007, its Memorandum and Articles of Association and the protocols, or to meet its</li></ul>	

general obligations under the law.

- IPS to give Membership department 5 working days notice of requests for database and paper record checks on members and requests for monthly statistics for membership.

**Policy Application (Policies that apply to both ILEX and IPS):**

- Protocols between ILEX and IPS (annex 1)
- CPD Regulations
- ILEX/CPS Memorandum of Understanding

**Charge:**

- As per 2010 Financial Budget

**SLA Manager:**

- Head of Membership

## SCHEDULE 9

### AWARDS

#### Service Specification

<b>Service:</b>	<b>Service Level/Timeframe:</b>
1. Support the work of IPS to ensure standards of qualification, training and assessment are fit for purpose and are capable of securing the minimum standards of competence expected of ILEX members.	1. Ongoing
2. Provide a report of Awards work during the preceding year including details of assessment results by candidate, centre and college.	2. Annual, by end of March
3. Staff to attend meetings of IPS Board and/or IPS/ILEX working groups connected with the maintenance of standards relating to qualifications, study, training and assessments of ILEX members.	3. Ad hoc
4. Provide draft minutes for meetings of the Awards Performance and Strategy Committee meeting.	4. Within 10 working days of meetings
5. Share with IPS any report by Ofqual requiring action to be taken to maintain approval of ILEX qualification or regarding any self-evaluation report.	5. Within 10 working days
6. Provide details of candidates found to be guilty of examination misconduct, including details of findings and evidence.	6. Within 5 working days of a final finding of examination misconduct
<b>Methods and Procedures:</b>	
<ul style="list-style-type: none"><li>• The above services are provided to IPS and supported by Awards department.</li><li>• Awards department to liaise with IPS in order to provide the services above.</li><li>• IPS is responsible for ensuring standards of qualification, training and assessment are fit for purpose and are capable of securing threshold standards of competence expected of ILEX members.</li></ul>	

- IPS to advise Awards staff of dates of meetings or when work required.

**Policy Application (ILEX policies that apply to both ILEX and IPS):**

- Protocols between ILEX and IPS (annex 1)
- Examination Regulations

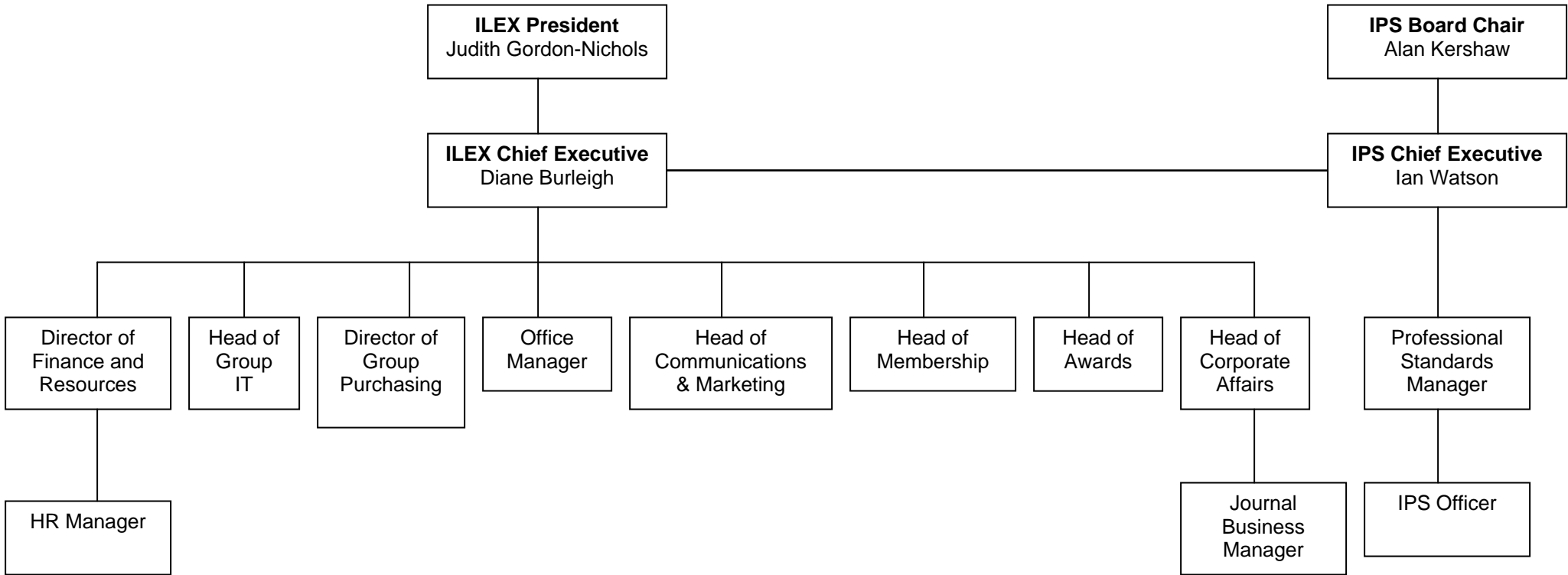
**Charge:**

- As per 2010 Financial Budget

**SLA Manager:**

- Head of Awards

**ILEX SLA ORGANISATION CHART**  
**JANUARY 2010**





## Institute of Legal Executives Group

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