



SCHEDULE OF AMENDMENTS TO ICAEW'S APPEAL COMMITTEE REGULATIONS

(1 JANUARY 2021)

REGULATION	AMENDMENT
1	<p>The commencement and authority provision has been updated to reflect the Appeal Committee's power to make its own regulations under the Schedule to the Disciplinary Bye-laws (DBLs).</p> <p>A transitional provision has also been inserted to clarify the application of the amended regulations to current disciplinary cases.</p>
2 (Definitions)	<p>The definitions of 'contracted firm', 'member firm' and 'regulated firm' have been deleted.</p> <p>A minor drafting amendment has been made to the definition of 'panel' which refers now to a panel being 'convened' (rather than 'appointed under') various regulations.</p> <p>References to appeals concerning 'intervention orders' have been updated to refer to appeals against 'interim orders' by a respondent in regulation 2(b), 2(g)(1) and 2(j)(1).</p> <p>References to the 'Investigation Committee' have been replaced with the 'Disciplinary Committee' in regulation 2(b), 2(g)(1) and 2(j).</p>
3 and 33	References to the 'Investigation Committee' and 'intervention orders' have been removed.
4, 37, 38, 39 and 44	Cross-references have been updated.
12	The regulation which permits parties to apply for permission to bring appeals outside the prescribed time limit has been amended to simplify the drafting and encompass appeals from the regulatory committees.
17 and 17A	These regulations have been updated to clarify the circumstances in which new evidence may be admitted at the hearing. Regulation 17A has been

	inserted and sets out the factors to which the panel shall have regard in determining whether any new evidence should be admitted at the hearing.
24	The provision dealing with service of notices/documents has been updated to reflect changes to the service provisions in the Disciplinary Bye-Laws (1.6 – 1.8).
34 and 35	Regulation 34 has been amended to enable the panel chair (sitting alone) to rectify accidental slips or omissions in the panel's order or record of decision. A new, related regulation has been inserted at 35.
39	Reference to 'preferral' has been replaced with 'referral'