

SERLE COURT: PUPILLAGE POLICY

Responsibilities for pupillage matters

1. The responsibility for pupillage matters in Chambers shall be with the Pupillage Committee.
2. The Pupillage Committee shall from time to time comprise:
 - a. a chairperson (the “Chairperson”);
 - b. a secretary (the “Pupillage Secretary”);
 - c. a mini-pupillage secretary; and
 - d. at least 3 other members of Chambers.
3. The members of the Pupillage Committee shall be appointed by the members of Chambers in accordance with Chambers’ constitution.
4. Where discussions or decisions are to take place concerning pupils within Chambers the appropriate pupil supervisors shall, if possible, attend the relevant Pupillage Committee meeting or meetings.
5. Decisions of the Pupillage Committee shall be taken by simple majority vote.

Selection of pupils

6. Serle Court is a member of the Pupillage Gateway and all applications for pupillage must be made through that system in line with our published timescale. Pupillage offers will also be made through the Gateway system. The full timetable for applications in 2020 can be found on the Pupillage Gateway website together with other recruitment information <https://www.pupillagegateway.com/>
7. The selection of all pupils for Chambers shall be carried out by the Pupillage Committee in accordance with this policy document and the BSB equality and diversity rules which shall take precedence over this policy document in the event of any inconsistency. Members of Chambers are not entitled to select pupils individually.
8. Paragraphs 9-29 below apply to funded pupillages. Applications for unfunded pupillages will be considered by the Pupillage Secretary on a case-by-case basis according to the Unfunded Pupillage Policy in force from time to time. If the Pupillage Secretary considers that an application for an unfunded pupillage should be considered further, then the Pupillage Secretary shall refer the application to the Pupillage Committee. If the Pupillage Committee considers that chambers may be able to accommodate an unfunded pupil and that the applicant appears likely to be of an acceptable standard, then it shall consider the application further using the same procedure as for the recruitment of funded pupils with any modifications the Pupillage Committee thinks fit. Any decision whether to make an offer of an unfunded pupillage shall be taken in consultation with the Management Committee.
9. Each year the Pupillage Committee shall decide the maximum number of pupillages it may recommend to be offered in the next round of pupillage recruitment and the amount of the



financial award for each such pupillage. If the Pupillage Committee proposes to change the number of funded pupillages recommended to be offered from the previous year, or the financial award, then members of chambers shall consider, and either approve, amend or reject any such proposed changes.

10. The number of pupillages being offered and the amount of the financial award for each pupillage shall be published and advertised as the Pupillage Committee shall think fit.
11. Each pupillage application received shall be anonymised and then separately considered by two members of chambers appointed by the Pupillage Committee. All the applications shall be considered by the same two members. The two members of chambers who each consider all the applications are hereinafter referred to as “the Tier 1 Selectors”.
12. The Tier 1 Selectors shall each mark the applications by reference to the assessment criteria and in accordance with the marking scheme agreed in advance by the Pupillage Committee.
13. The Tier 1 Selectors shall mark the applications independently of each other, and without knowledge of the marks given by the other.
14. The top 20 applicants ranked by aggregate mark (combining the marks given by the two Tier 1 Selectors) shall be invited for a “First Interview”. In the event of a tie between two or more applicants for the last automatic First Interview place, at the discretion of the Chairperson all such applicants shall either be invited for a First Interview or have their applications marked by a third member of chambers appointed by the Pupillage Committee (the “Tier 2 Selector”) in accordance with paragraph 15.
15. The applications of the applicants ranked from 21 to 40 by aggregate mark (together with the applications of any applicants referred by the Chairperson under paragraph 14) shall be considered and marked by the Tier 2 Selector. In the event that two or more applicants are tied for the last place for consideration by the Tier 2 Selector, the Tier 2 Selector shall consider the applications of all such applicants.
16. The Tier 2 Selector shall mark the applications that (s)he is required to mark by reference to the same assessment criteria and in accordance with the same marking scheme employed by the Tier 1 Selectors. (S)he will do so independently of the Tier 1 Selectors and without knowledge of the marks given to the relevant applications by the Tier 1 Selectors.
17. Purely by reference to the marks that the Tier 2 Selector gives to the applicants whose applications (s)he marks, the Tier 2 Selector shall recommend to the Pupillage Committee that no fewer than 6 and no more than 15 such applicants be invited for a First Interview. Absent exceptional circumstances, the Pupillage Committee shall follow the recommendation of the Tier 2 Selector.
- 17A. Any applicant who is not invited for a First Interview shall be informed in writing as soon as practicable that their application has been unsuccessful.



Selection criteria

18. The assessment criteria and marking scheme agreed from time to time by the Pupillage Committee shall reflect independent expert advice as to the best means of avoiding or mitigating the effects of any conscious or unconscious biases and avoiding impermissible direct or indirect discrimination.
19. The assessment criteria and marking scheme to be used in a particular recruitment round shall be published on Chambers' website at least one month before the Pupillage Gateway opens.

First Interview

20. Each First Interview shall be conducted by at least three members of Chambers ("the First Interview Panel"). Further:
 - a. if reasonably practicable, the First Interview Panel shall, for each of the first interviews, comprise the same members; and
 - b. the members of the First Interview Panel shall not include the Tier 1 Selectors or the Tier 2 Selector.
21. Before the First Interview in each recruitment round the First Interview Panel shall agree (subject to the approval of the Pupillage Committee) certain common questions to ask each of the First Interview candidates. In agreeing and considering whether to approve the common questions the First Interview Panel and the Pupillage Committee (respectively) shall have regard to independent expert advice as to the best means of avoiding or mitigating the effects of any conscious or unconscious biases and avoiding impermissible direct or indirect discrimination during interviews (the "Interview Advice"). Further, the common questions shall be designed to enable the First Interview Panel to assess:
 - a. the applicant's intellectual ability;
 - b. the applicant's ability to present and articulate analytical and persuasive oral argument;
 - c. the applicant's judgment;
 - d. whether the applicant would be able to establish and maintain good relationships with:
 - i. lay clients; and
 - ii. solicitors,
22. During each First Interview the First Interview Panel shall ask each applicant the common questions and such other general or follow up questions as the First Interview Panel shall think appropriate.



23. At the end of the First Interview, the First Interview Panel shall assess the applicant using the assessment form and rating scale then in force (which assessment form and rating scale shall be agreed by reference to the Interview Advice and published on Chambers' website at least one month before the date of the first First Interview). At the conclusion of the final First Interview, the First Interview Panel shall decide which applicants are to be invited for a "Second Interview". The First Interview Panel shall select no fewer than 8 and no more than 12 applicants to be invited for a Second Interview.
24. Each First Interview candidate shall be informed of the outcome of his or her interview as soon as is practicable after his or her First Interview.

Second Interview

25. Each Second Interview shall be conducted by three members of Chambers ("the Second Interview Panel"). Further:
- a. if reasonably practicable, the Second Interview Panel shall, for each of the second interviews, comprise the same members; and
 - b. the members of the Second Interview Panel shall not include any member who was part of the First Interview Panel or who was a Tier 1 Selector or a Tier 2 Selector.
26. The Second Interview shall follow the same format for every applicant. Such format, and the assessment form and rating scale to be used for the purposes of the Second Interview shall be agreed by the Pupillage Committee by reference to the Interview Advice and notified to the applicants who are invited for Second Interview.

Selection of pupils

27. A member shall only be eligible to act as a Tier 1 Selector, a Tier 2 Selector, or a member of the First or Second Interview Panels if they have undergone Equality and Diversity Training within the previous 5 years. Further, all members of the Pupillage Committee must undergo Equality and Diversity training at least once every 5 years. The Pupillage Committee shall maintain for at least 5 years training records for all members of the Pupillage Committee and anyone who acts as a Tier 1 Selector, a Tier 2 Selector, or a member of the First or Second Interview Panels.
28. After the final Second Interview, as many members of the First and Second Interview Panels as reasonably practicable but at least one from each shall meet with the Pupillage Committee. At that meeting (or meetings):
- a. the performances in first and second round interview, application forms, and references of the Second Interview applicants shall be discussed;
 - b. the representatives of the First and Second Interview Panels shall communicate their assessments of the Second Interview applicants to the Pupillage Committee, and in particular which applicants, if any, they recommend:
 - i. be offered pupillages in the first instance; and



ii. may be offered pupillages if an applicant made an offer under paragraph 27(b)(i) does not accept it (“reserve applicants”);

c. the Pupillage Committee shall in its discretion decide which applicants to make offers of pupillage to.

29. Before an offer of pupillage is made to any applicant, the Chief Executive shall on behalf of Chambers undertake appropriate due diligence to satisfy himself or herself that (a) academic and vocational training components have been satisfactorily completed within the 5 year limit, (b) the prospective offeree is a member of an Inn, (c) the prospective offeree has been called to the Bar or will be called to the Bar prior to or during his or her pupillage, (d) the prospective offeree is entitled to obtain an immigration visa permitting her or him to commence pupillage and, following pupillage, tenancy, (e) waivers have been granted by the BSB, where relevant.

30. Offers of pupillage will be made in line with our published timetable through the Pupillage Gateway.

Third six-month pupillages

31. The Pupillage Committee shall from time to time decide whether to recommend that Chambers recruit one or more third six-month pupils.

32. If the Pupillage Committee makes such recommendation and is authorised to recruit one or more third six-month pupils, it will use such recruitment procedure as it considers appropriate having regard to the Interview Advice.

Retention of data and records

33. The Pupillage Committee shall retain for at least 5 years (a) all recruitment records (including advertisements, application processes, selection criteria and assessor records), (b) diversity data for pupillage applicants (including data relating to applicants, interviews offered, pupillage offers made, places taken up and the action taken following the review of such data), and (c) any complaints or grievances together with any analysis thereof and action taken.

Conduct of pupillage

34. All prospective pupils will be required to execute a contract governing the terms of their pupillage. The terms of the contract are to be approved by the Pupillage Committee. The Pupillage Committee shall retain copies of each pupillage contract for at least 5 years.

35. Chambers shall use both the general commercial and chancery pupillage check lists as a guide to the training that a pupil in chambers will receive. Pupils shall follow Chambers’ pupillage training programme in the form agreed by the Pupillage Committee from time to time.



36. At the start of each pupillage a pupil shall be allotted a pupil supervisor who shall have overall responsibility for that pupil for such period as determined by the Pupillage Committee, but in any event not less than three months.
37. Those who are undertaking twelve-month pupillages shall sit with at least three pupil supervisors. Those who are undertaking six-month pupillages shall sit with at least two pupil supervisors.
38. All pupil supervisors will be trained in accordance with the outcomes and frequency specified by the Bar Standards Board in the Bar Training Manual. Refresher training will be mandatory for all pupil supervisors, and will be required every 5 years, or after 3 years for someone who has not supervised any pupils in the intervening time. The Pupillage Committee shall maintain for at least 5 years training records for all pupil supervisors.
39. In so far as is reasonably practicable, each pupil will sit with pupil supervisors practising in Chambers' core areas of practice.
40. A pupil shall sit with his or her pupil supervisor or such other member or members of chambers as shall be agreed between the pupil supervisor and the Pupillage Secretary in consultation with the other members of the Pupillage Committee.
41. No pupil shall undertake work for a member of chambers other than with the prior permission of his or her pupil supervisor. No pupil shall undertake work in his or her name during pupillage without the prior consent of his or her pupillage supervisor and, save in the case of uncontested applications or other minor pieces of work, the prior consent of the Pupillage Secretary. Separate arrangements may be made for third six pupils.
42. Throughout the course of pupillage, the Pupillage Committee shall have discretion to make such reasonable adjustments to pupils' training programme, working hours and practices as pupils may request or otherwise seem appropriate to the Pupillage Committee in the light of the particular circumstances of the relevant pupil(s).
43. If a pupil does undertake work in his or her name during pupillage the following applies to payments received:
 - a. If the payment is received after the pupillage has ended, the pupil can keep the payment. If the pupil has subsequently become a tenant, the payment will count towards the calculation of their chambers expenses and for the purposes of any income guarantee in force as at that time.
 - b. If the payment is received during the pupillage, the pupil will be required to repay the equivalent amount of their pupillage award in that month in accordance with the terms of the Pupillage Contract.
44. Chambers will reimburse expenses reasonably incurred by pupils on:
 - a. travel for the purposes of pupillage (other than travel between his home and chambers and travel for the purposes of his practice as a barrister); and



- b. attendance on courses which he or she is required to attend as part of his/her pupillage.
45. The general obligations and functions of a pupil supervisor shall be those set out in the Bar Handbook (as amended from time to time). Without prejudice to the obligations therein described, pupil supervisors are required:
- a. to provide regular and, in so far as practicable, immediate feedback on each piece of work undertaken by his or her pupil, and to ensure (in so far as practicable) that similar feedback is provided by other members of chambers for whom that pupil completes work;
 - b. to provide regular assessment of his or her pupil's progress both to the pupil concerned and to the Pupillage Committee at meetings to be arranged by and at the discretion of the Pupillage Secretary; and
46. The Pupillage Secretary shall be responsible for the administration of pupillage within chambers. The Pupillage Secretary – in consultation with the pupil supervisors – shall
- a. inform the pupils of the periods during which they are entitled to holidays during pupillage;
 - b. ensure that the pupils undertake one or more common pieces of written work to be used to assist in the assessment of the pupils' ability;
 - c. arrange for at least one advocacy exercise to be undertaken by the pupils to be used to assist in the assessment of the pupils' ability;
 - d. endeavour to identify gaps in any pupil's training, in particular in the core areas of Chambers' work and ensure that such gaps are met by an appropriate placement with an appropriate member of chambers; and
 - e. ensure, in consultation with the pupils, that (in so far as is possible) pupils are exposed to all areas of work undertaken in Chambers in which they have a particular interest.
47. The Pupillage Secretary and the pupil supervisors shall be responsible for ensuring that Chambers completes all such forms and records relating to pupillage as may from time to time be required of it by the Bar Council, the Bar Standards Board and/or the Inns of Court. Pupils shall be individually responsible for ensuring that they complete any such similar forms and records required of them.
48. The Pupillage Committee may make such arrangements as it thinks fit to provide informal support for pupils throughout their pupillage.

Selection of junior tenants

49. Chambers' present policy is that (save in exceptional cases) recruitment of those who have never previously practised as tenants shall be exclusively from Chambers' pupils.



50. In considering whether any pupil ought to be recommended to Chambers for tenancy, the Pupillage Committee shall assess:
 - a. the pupil's intellectual and practical ability as demonstrated in the written and oral work undertaken during the course of his or her pupillage;
 - b. whether the pupil has the skill and motivation necessary to practise successfully at the Chancery/Commercial Bar; and
 - c. whether the pupil would be able to establish and maintain good relationships with other barristers, solicitors, lay clients and the judiciary.
51. Once pupils who are undertaking a 12-month pupillage have completed 6 months of pupillage, the Pupillage Committee will look to recommend to Chambers that tenancy be offered to each and every pupil in the relevant intake during the ninth month of their pupillage. Absent such a recommendation, the Pupillage Committee shall convene during that month of the relevant pupils' pupillage to decide what recommendation to make to Chambers in respect of each pupil.
52. In respect of pupils undertaking a 6-month pupillage, the Pupillage Committee may at any time make such recommendation to Chambers as it considers appropriate.
53. Within 10 days of the Pupillage Committee recommending that an offer of tenancy be made to any pupil, a general meeting shall be convened to enable members to decide in accordance with Chambers' constitution whether to implement that recommendation.
54. The selection of tenants other than those commencing tenancy for the first time shall not be the responsibility of the Pupillage Committee.
55. The Pupillage Committee and other members of Chambers agree to use reasonable endeavours to assist any pupil not offered tenancy to find a further period of pupillage or a junior tenancy at another set of chambers.

Equal opportunities

56. Recruitment for and conduct of pupillage will be carried out without unlawful discrimination and in a manner fair to all.
57. In making any decision relating to the selection of mini-pupils, pupils and junior tenants or the conduct of mini-pupillages or pupillages a member of Chambers or staff must not make such decision on the basis of, or be influenced by, a person's age; disability; gender reassignment; marital or civil partnership status; pregnancy or maternity; race, colour, nationality, ethnic or national origin; religion or belief; sex and sexual orientation, save to the extent that may be justified in accordance with the law and Bar Standards Board guidance.



Complaints

58. If a pupil or mini-pupil, an applicant for pupillage or mini-pupillage, a member of Chambers or a member of staff has any complaint about the selection of pupils or mini-pupils, he or she shall be entitled to make a formal complaint and shall do so in accordance with the Chambers' Complaints Policy (Annex A).
59. If a pupil has a grievance relating to their pupil supervisors, other barristers, clients, members of staff, other pupils or their pupillage, they can use the grievance procedure (Annex B) to help to resolve their grievance.

SERLE COURT: COMPLAINTS POLICY

The following sets out the procedure for handling complaints that concern:

- The treatment of applications to join chambers as pupils, tenants or staff;
- The service given by or conduct of members of chambers, chambers' staff towards solicitors, clients and visitors to chambers (such as mini-pupils and those engaged on work experience).

You have a right to complain about all or any of the above. Your complaint will be treated seriously in accordance with the procedures set out in this policy.

WHO OVERSEES THE POLICY?

The following members of Serle Court have responsibility for investigating complaints made on any of the grounds set out at the head of this policy:

Chief Executive;

Head of Chambers;

In the event of a conflict of interest an appropriate individual will be nominated by the Management Committee to investigate the relevant complaint or complaints in place of the Chief Executive or Head of Chambers as appropriate.

Procedure

In the event that you wish to make a formal complaint, that complaint should be made in writing for the attention of:

The Chief Executive



who will have the duty of ensuring that the complaint is investigated.

All complaints will be promptly investigated. The person/s carrying out the investigation will not be connected with the allegation in any way.

In the case of complaints about members of chambers or chambers' staff, these will be dealt with as follows:

If concerning the service given by or conduct of chambers' staff or by the chambers' administration generally, by the Chief Executive; and

If concerning the service given by or conduct of a member of Chambers, by the Head of Chambers.

In the case of complaints relating to applications to join chambers, these will be dealt with as follows:

If concerning an application to join chambers as a pupil or member of staff, by the Chief Executive; and

If concerning an application to join chambers as a tenant, by the Head of Chambers.

Confidentiality will be maintained and where it is necessary to interview witnesses the importance of confidentiality will be emphasised. The Bar Standards Board is entitled to inspect the documents and seek information about the complaint when discharging its auditing and monitoring functions.

Any person or persons against whom the complaint is made shall be given a proper opportunity to respond to the complaint, to put his or her side of the story, and to make written representation within 21 days.

Within 6 weeks of the receipt of your complaint the Chief Executive will deliver a written response to you. If at the conclusion of an investigation your complaint is found to be substantiated, appropriate action will be taken.



If you are unhappy with the outcome of our investigation you may be able to take up your complaint with the Legal Ombudsman, the independent complaints body for complaints about the service provided by lawyers, at the conclusion of our consideration of your complaint. The Ombudsman is not able to consider your complaint until it has first been investigated by Chambers. Please note that any complaint to the Legal Ombudsman must be made within **six-months** from the date on which you are notified of the outcome of our investigation.

In addition, the Legal Ombudsman will ordinarily only investigate complaints that are raised either within six years of the act/omission about which you are complaining or within three years of the date on which you should reasonably have known there was cause for complaint. In either case, the date of the act/omission or the date on which you should reasonably have known there was cause for complaint must have been after 5 October 2010.

You can contact the Legal Ombudsman as follows:

Legal Ombudsman
PO Box 6806
Wolverhampton WV1 9WJ

Telephone number: 0300 555 0333

Email: enquiries@legalombudsman.org.uk

RECORDS

Records will be kept of all complaints and investigations. These will be kept confidential, save where disclosure is required for legal or disciplinary action.

MONITORING

The outcome of every complaint will be reviewed annually by the Management Committee to ensure the continuing effectiveness of this policy.



Annex B

SERLE COURT: GRIEVANCE PROCEDURE (PUPILS)

Introduction

It is the policy of Chambers to ensure that pupils with a grievance relating to their pupil supervisors, other barristers, clients, members of staff, other pupils or their pupillage can use a procedure which can help to resolve their grievances as quickly and as fairly as possible. This document sets out the procedure which applies if any pupil has any such grievance.

Informal discussions

A pupil who considers that he or she has a grievance:

about a pupil supervisor or their pupillage generally should discuss it informally with the pupillage committee secretary or chairman; or

about another barrister, a client, a member of staff or another pupil should discuss it informally with their pupil supervisor.

Chambers hopes that the majority of concerns will be resolved at this stage.

Meeting

A pupil who considers that his or her grievance has not been resolved through informal discussions, should put his or her grievance in writing to the Chief Executive.

The Chief Executive will invite the pupil to attend a meeting to consider the grievance. The pupil should take all reasonable steps to attend this meeting. If the pupil wishes, he or she may choose to be represented or accompanied at this meeting by either a member or an employee of chambers.

The pupil will be notified of the decision of the Chief Executive in writing within 5 working days of the meeting.

If the Chief Executive considers it appropriate, she may delegate her function under this paragraph to another suitable member or employee of chambers.

Appeal

If the matter is still not resolved to the pupil's satisfaction, the pupil should put his or her grievance in writing to the Grievance Committee within 5 working days of receipt of the written decision in relation to the grievance.

The Grievance Committee will consist of the Chair of the Management Committee, two Members of Chambers chosen by the Management Committee, the Head Clerk and the Chief Executive (but will not include any person who has dealt with the grievance previously or who is the subject of the grievance).

The pupil will be entitled to have an appeal meeting with the Grievance Committee to discuss the matter. The pupil must take all reasonable steps to attend this appeal meeting. Should the



pupil wish, he or she may choose to be represented or accompanied at this meeting by either a member or an employee of chambers.

The Grievance Committee will give its decision in writing within 10 working days of the appeal meeting. The decision of the Grievance Committee will be final and binding (subject to any right that may exist to take the subject matter of the grievance to the Bar Standards Board or other relevant body).