



# Family Lawyers Association

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Call for Input on Compliance-Based Entity Regulation  
Policy Secretariat  
The Law Society of Upper Canada  
130 Queen Street West  
Toronto, ON M5H 2N6

Dear Compliance-Based Entity Regulation Taskforce:

**Re: Call for input – Consultation paper: “Promoting better legal practices”**

The Board of the Family Lawyers Association has reviewed the Compliance-Based Entity Regulation Task Force’s January 2016 consultation paper, “Promoting better legal practices”.

We appreciate the opportunity to provide feedback on these issues. However, this consultation paper raises many questions, and in order to provide feedback on whether the LSUC’s jurisdictional scope should be broadened to encompass compliance-based regulation and/or entity regulation, our members seek clarification regarding the following:

- 1) Would the general practice management principles, assessed by way of some sort of compliance-based mechanism, be largely based on the existing Rules of Professional Conduct?
- 2) What, if any, other sources would the general practice management principles be based on?
- 3) How would compliance-based regulation be measured? (I.e. would lawyers be required to fill out online surveys or questionnaires?)

- 4) How much time would lawyers or entities be expected to devote to completing the compliance-based mechanism?
- 5) How many times per year would compliance be assessed?
- 6) The consultation paper states that other jurisdictions that have implemented such systems have seen fewer complaints against lawyers. Does the LSUC anticipate a reduction in LawPRO fees as a result of the compliance-based and/or entity-based regulation?

Without understanding how the LSUC proposes to implement compliance-based and/or entity-based regulation, it is very difficult to provide feedback regarding the LSUC's plans. One of the FLA's major concerns, however, is that these systems will place an undue burden on sole practitioners and/or small firms, and we would therefore be interested in knowing whether the LSUC proposes some sort of exemption from these requirements for sole practitioners and/or small firms.

We look forward to working further on this issue on behalf of our membership.

Yours truly,



Katharina Jančzaruk  
Chair – Family Lawyers Association