

Summary of Joint Initiative on Services Domestic Regulation (DR JSI) disciplines

Section	Summary of provision
Section I	Section I establishes the general objectives of the DR JSI.
Section II <i>Scope of the Disciplines (Articles 1-3)</i>	These articles establish the scope of the disciplines in the DR JSI.
<i>Submission of Applications (Article 4)</i>	This article requires each Member to avoid, to the extent practicable, requiring an applicant to approach multiple authorities for an authorisation to supply a service.
<i>Application Timeframes (Article 5)</i>	This article requires each Member, to the extent practicable, to ensure there is opportunity to apply for authorisation to supply a service throughout the year, or if there is a specific period to apply, there is a reasonable period during which applications can be made.
<i>Electronic Applications and Acceptance of Copies (Article 6)</i>	This article requires each Member to ensure its competent authorities endeavour to accept applications in electronic format, and to accept copies of documents.
<i>Processing of Applications (Articles 7 and 8)</i>	<p>These articles require each Member to ensure its competent authorities provide applicants for the authorisation to supply a service with:</p> <ul style="list-style-type: none"> • to the extent practicable, indicative timelines for processing applications (Article 7 (a)) • the status of an application, upon request (Article 7 (b)) • to the extent practicable, information on the completeness of an application without undue delay (Article 7 (c)) • if an application is considered complete, to the extent possible, the outcome of the application and ensure that the processing is completed within a reasonable period (Article 7 (d)) • if an application is considered incomplete, to the extent practicable, notification of the incomplete status, what additional information is required (upon request) and an opportunity to complete the application (Article 7 (e)) • if an application is rejected, to the extent possible, the reasons for the rejection and details regarding procedures for resubmission, and (Article 7 (f)) • where an application is successful, authorisation is granted without undue delay. (Article 8)
<i>Fees (Article 9)</i>	This article requires each Member to ensure fees charged by competent authorities for the authorisation to supply a service are reasonable, transparent, and not trade restrictive.
<i>Assessment of Qualifications (Article 10)</i>	This article requires each Member to ensure access to any required examinations for authorisations are scheduled at reasonably frequent intervals, allow reasonable periods of time for applicants to request an examination and are encouraged, where practicable to accept/conduct examinations electronically.

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<i>Recognition (Article 11)</i>	This article requires each Member to consider supporting the dialogue of professional bodies on issues relating to recognition of professional qualifications, licensing, or registration, where requested and appropriate.
<i>Independence (Article 12)</i>	This article requires each Member to ensure that the decisions of competent authorities with respect to the supply of a service are reached and administered in a way that is independent of any supplier of that service.
<i>Publication and Information Available (Article 13)</i>	This article requires each Member to publish or make publicly available information necessary for prospective service suppliers to comply with authorisation requirements and procedures.
<i>Opportunity to Comment and Information before Entry into Force (Articles 14-19)</i>	These articles require each Member, to the extent practicable, publish laws and regulations relating to licensing requirements and procedures, qualification requirements and procedures, and technical standards affecting trade in services. To the extent practicable, interested persons and other Members should have reasonable opportunity to comment and there should be a reasonable time before entry into force.
<i>Enquiry Points (Article 20)</i>	This article requires each Member to maintain or establish appropriate mechanisms for responding to enquiries from those seeking to supply a service.
<i>Technical Standards (Article 21)</i>	This article requires each Member to encourage its competent authorities to develop technical standards using an open and transparent process.
<i>Development of Measures (Article 22)</i>	This article requires each Member to ensure that measures relating to the authorisation of a service are based on objective and transparent criteria, have impartial and adequate procedures, the procedures to not in themselves unjustifiably prevent the fulfilment of requirements and that such measures do not discriminate between men and women.
Section III <i>Alternative Disciplines on Services Domestic Regulation for Financial Services</i>	<p>This section provides an alternative set of disciplines on services domestic regulation for financial services. The disciplines are the same as those in Section II with the following exceptions:</p> <ul style="list-style-type: none"> • Section III does not include an article on <i>submission of applications, recognition and technical standards</i> • The articles on <i>fees</i> and <i>publication and information available</i> in Section III differ to the articles in Section II in the following ways: <ul style="list-style-type: none"> ○ In Section III, <i>fees</i>: this article requires each Member to ensure its competent authorities provide applicants with a schedule/information of how fees are determined ○ In Section III, <i>publication and information available</i>: unlike in Section II, this article does not include fees, technical standards or indicative timeframes as information to be published or made available.