

<b>Date</b>	<b>30 September 2025</b>
<b>Item</b>	<b>08.00</b>
<b>Title</b>	<b>Director of Regulation Report</b>
<b>Author</b>	<b>Simon Blandy, Director of Regulation</b>
<b>Purpose</b>	This paper provides the Board with an update on the work of the Regulation Directorate, including a review of the Enforcement function
<b>Recommendation</b>	The Board is asked to <b>NOTE</b> this report.
<b>Timing</b>	N/A
<b>Impact Assessment</b>	N/A
<b>Impact on Regulatory Objectives</b>	The work covered in this report impacts on the following: <ul style="list-style-type: none"> <li>- encouraging an independent, strong, diverse, and effective legal profession.</li> <li>- protecting and promoting the consumer and public interest; and</li> <li>- promoting and maintaining adherence to the professional principles.</li> <li>- promoting the prevention and detection of economic crime</li> </ul>
<b>Implications for resources</b>	This report covers a period in which there continues to be changes in staffing impacting on the operational areas.
<b>Impact on consumer empowerment</b>	N/A
<b>Impact on ongoing competence</b>	N/A
<b>Publication status</b>	For publication.
<b>Appendices</b>	08.01 draft CRL AML Supervision Report 2024-2025

## Introduction

1. This paper provides the Board with an update on the work of the Regulations Directorate including:
  - The work of the Practitioner Team,
  - The work of the Entity Team, and
  - The work of the Enforcement Team.
2. The data in this Report is supplemented by the performance data which is published on a quarterly basis (in this case Quarter 1 2025).

## PRACTITIONER TEAM UPDATE

### Operations

3. Following the departure of their predecessor in May 2025, the newly appointed PAS Manager started in August 2025. The Qualifying Employment Officer left in July. [A Practitioner Officer has been appointed as a replacement and is due to start in October 2025.]
4. Since she started the PAS Manager has received training on the PAS processes from the relevant members of the team and also spent time understanding the responsibilities and duties of each member of the team. She has:
  - had introductory meetings with CILEX officers
  - worked with the Executive Assistant and Business Support Manager to update the sickness policy which has been applied across the business, and
  - begun working with the team on reviewing and updating the PAS Manual.
5. Based on an analysis of workflows, the PAS Manager will identify the key tasks and make proposals how performance can be tracked. She plans to have an in person meeting at Wrest Park, most likely in November 2025, to follow up on discussions she has had with the team, both individually and collectively.

### Qualifying Experience (QE)

Qualifying Experience														
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD	FY
<b>Applications 2025</b>	60	54	44	29	43	61	52						343	
<b>Applications 2024</b>	28	37	58	57	56	47	35	43	57	52	31	24	318	525
<b>Applications 2023</b>	55	57	63	51	44	45	41	33	57	44	39	31	356	562
<b>Applications 2022</b>	61	65	62	70	57	72	43	67	58	43	42	28	430	668
<b>Av No weeks to overall decision-2025</b>	4	4	5											
<b>Av No weeks to overall decision-2024</b>	5	4	5	5	5	5	5	5	5	5	5	5		

### Work Based Learning (WBL)

Work Based Learning														
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD	FY
<b>Applications 2025</b>	39	21	49	60	35	50	46						300	
<b>No. authorisations - 2025</b>	31	32	29	39	50	48	49						278	
<b>Applications 2024</b>	44	39	58	69	67	42	44	51	65	41	35	38	363	593
<b>No. authorisations - 2024</b>	64	31	37	44	46	58	51	48	50	48	60	39	331	576
<b>Applications 2023</b>	54	58	59	62	57	43	43	80	62	61	59	21	376	659

No. authorisations - 2023	72	53	38	53	65	63	57	47	78	73	70	39	401	708
Applications 2022	42	37	71	70	62	52	48	77	65	65	60	38	382	687

### Practice Rights & Advocacy

Practice Rights & Advocacy 2025														
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	YTD	FY
No of practice rights holders	439	448	463	472	471	479	486						486	
Applications received	9	7	7	10	5	2	2						42	
Applications authorised	11	10	22	9	10	8	8						78	
Av. no. weeks to overall decision	11.8	11.3	11.0	10.7	10.8	10.8	10.6							
No of practice right holders (ACCA-Probate)	63	63	64	65	67	67	67						67	
Practice Rights & Advocacy 2024														
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	YTD	FY
No of practice rights holders	286	302	328	341	357	364	376	391	406	416	421	429	376	429
Applications received	13	6	6	7	6	3	11	9	3	2	6	2	52	74
Applications authorised	24	17	26	13	16	7	12	15	15	8	7	6	115	166
Av. no. weeks to overall decision	37.5	37.5	37.5	34.5	33.1	32.3	32.3	32.3	32.3					
No of practice right holders (ACCA-Probate)	58	60	61	61	62	62	62	62	62	62	62	62	62	
2023														
No of practice rights holders	149	155	164	165	165	165	195	204	216	236	264	280	195	280
Applications received	5	9	4	8	9	4	5	5	7	10	6	2	44	74

<b>Applications authorised</b>	2	3	11	2	0	2	9	22	11	22	16	26	29	126
<b>Av. no. weeks to overall decision</b>	40.6	40.5	47.6	47.2	45.8	44.8	42.8	41.3	40.1	39.4	38.2	37.5		
<b>No of practice right holders (ACCA-Probate)</b>	54	55	49	49	49	49	48	45	45	46	46	46	48	46

## ENTITY TEAM UPDATE

### Rule changes

Designated Professional Body (DPB) application.

- This process remains on hold.

### Operations

#### ACCA Performance Update

Current ACCA Firms													
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	
<b>No. of CILEX-ACCA Probate firms 2025</b>	39	40	40	40	36	35	35						
<b>No. of CILEX-ACCA Probate firms 2024</b>	37	37	39	38	37	38	37	38	38	38	38	38	38
<b>No. of CILEX-ACCA Probate firms 2023</b>	42	42	39	39	39	40	39	39	37	38	38	37	37
<b>No. of CILEX-ACCA Probate firms 2022</b>	21	28	37	39	42	43	43	43	43	42	42	42	42

- The 2025 licence renewal process continues, and a further firm lapsed out of authorisation in June as it was not willing to comply with the Transparency Requirements.
- Ensuring CILEX-ACCA Probate firms are compliant with the Transparency Requirements prior to approving their renewal has been the main reason for the delay in processing. This has been a complex and time-consuming process as firms have been slow to respond to the September 2024 changes in the transparency requirements.
- There have also been firms that had compliant Consumer Information Leaflets but are now using websites which are not compliant with the transparency requirements. Equally there are websites that have become non-compliant as they have not been updated with information such as amended Probate Registry fee and Legal

Ombudsman postal address. Some websites have been incorrectly updated so have become non-compliant.

10. It is anticipated that transparency will again be a major element in the 2026 renewal process.
11. As at the 27 August 2025 of the 35 CILEX ACCA Probate Entities on the directory, five have not yet completed their renewals for 2025. In addition to transparency compliance, some firms have non-compliant insurance cover or out of date business continuity arrangements.
12. A further four firms have expressed an interest in being authorised as CILEX ACCA Probate Entities. In addition, there is one application which is nearing completion.

#### Entity Performance Update

Current Entity applications - 2025												
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec
No. of CILEX Authorised firms	21	21	21	21	21	21	21					
No. applications granted full authorisation	1	0	0	0	0	0	0					
No. renewals authorised	1	1	1	2	2	3	1					
No. ABS	1	1	1	1	1	1	1					
Entity applications - 2024												
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec
No. of CILEX Authorised firms	20	18	19	19	20	20	21	20	20	20	20	20
No. applications granted full authorisation	0	0	0	0	1	0	1	0	0	0	0	0
No. renewals authorised	2	2	3	2	1	1	2	1	2	2	2	2
No. ABS	1	1	1	1	1	1	1	1	1	1	1	1
2023												
No. of CILEX Authorised firms	22	20	19	19	19	19	19	19	19	20	20	20
2022												
No. of CILEX Authorised firms	24	24	24	25	25	25	25	24	23	23	22	22

13. The number of authorised firms including the one ABS remains at 21. As previously reported, we continue receive enquiries about entity applications, though none of the recent enquiries have been viable. Currently, two applications are under consideration: one partial and one finalised.
14. The Annual Return reviews are currently up to date with fourteen completed up to 27 August 2025.
15. The collection of Practising fees and Compensation Fund fees for the period to the end of July 2025 is up to date, with one exception. A second firm is late in submitting their

Accountant's Report and a third firm continues to be investigated for failing to comply with regulatory information requirements, including breaches of the CILEX Accounts Rules.

## **ECONOMIC CRIME UPDATE**

### **Anti-Money Laundering (AML) Supervision**

16. At the end of July 2025 CRL submitted its AML/CTF Supervisors Annual Return to HM Treasury. This is a detailed return reporting on CILEx Regulation's AML related activity.
17. All regulated and supervised firms completed and completed an AML Statement in June. The AML Statement this year needed to be supported by additional documentation such as example Client / Matter Risk Assessments and training logs. This has enabled a more detailed analysis of compliance than in previous years.
18. An overview table of compliance has been developed, and this has been supplemented for the first time with detailed AML Risk Profile reports on compliance for each firm.
19. The AML Officer has used this information and as well as other sources to produce the 2025 Sectoral Risk Assessment which has now been [published](#). This assessment provides the regulated and supervised sector with an insight into money laundering and terrorist financing risks.
20. The information in the 2025 Sectoral Risk Assessment has helped to shape the AML Supervision Report for 2024-2025 (see draft at Appendix 08.01).
21. In parallel, CRL continues on schedule in completing the tasks identified in the action plan submitted to OPBAS. A full report on AML (to include the AML Supervision Report 2024-2025) will be submitted to the Strategic Risk Committee at its meeting on 9 October 2025.

## **ENFORCEMENT TEAM UPDATE AND REVIEW**

### **Team Structure**

22. The Enforcement Team is managed by the Disciplinary Standards Manager and currently comprises:
  - A Lead Investigator appointed in March 2025, responsible for the prior conduct cases and scheduling the disciplinary panels in addition to the investigation of misconduct cases.
  - Two temporary, full-time Investigation Officers, also appointed in March 2025, who focus on the more aged misconduct cases and assist with the preparation of prior conduct reports for the PCP. One of the Investigation Officers accepted a permanent contract with effect from 1 September 2025.
  - A temporary, full-time Administration Assistant appointed in July 2025 assisting primarily with prior conduct queries and setting up cases
  - A PAS Officer has assisted with prior conduct cases one day a week since February 2025.

23. As a result there has been a lag in the investigation of misconduct cases. A further temporary Investigation Officer is being recruited primarily to progress more recent cases and as a replacement for the caseworker who left in July 2025.
24. A Regulatory Support Lead - Enforcement is being recruited to fill the vacant manager's post.
25. A further three meetings of the Professional Conduct Panel (PCP) have been fixed to the end of the year. A disciplinary tribunal hearing has been scheduled for November 2025 and there are two Appeal Panel hearings in October and November respectively. Subject to availability there will be an online all-panel training session in November.

## Prior conduct

Prior Conduct Declarations														
2025														
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD	FY
Declarations received	36	24	31	22	16	25	11						165	
No of cases resolved	33	14	49	20	21	7	35						179	
No of cases open	80	90	72	74	69	87	63						63	
No of cases 'On hold'	3	1	0	0	0	0	0						0	
No of cases - live	77	89	72	74	69	87	63						63	
2024														
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD	FY
Declarations received	28	24	26	20	14	16	15	25	24	18	19	33	143	262
No of cases resolved	41	23	26	25	8	15	17	23	17	30	19	21	155	265
No of cases open	67	68	68	63	69	70	68	70	77	65	65	77	68	77
No of cases 'On hold'	16	16	20	17	15	15	15	17	17	10	7	6	15	6
No of cases - live	51	52	48	46	54	55	53	53	60	55	58	71	53	71
2023														
Declarations received	27	22	24	21	22	14	16	26	30	12	19	27	146	260
No of cases resolved	37	32	25	19	24	18	32	29	21	20	14	18	187	289
No of cases open	99	89	88	90	88	84	68	65	74	66	71	80	68	80
No of cases 'On hold'	23	24	26	26	24	24	23	24	21	19	23	23	23	23
No of cases - live	76	65	62	64	62	60	45	41	53	47	48	57	45	57
2022														
Declarations received	18	20	16	22	22	17	18	17	18	19	43	28	133	258

<b>No of cases resolved</b>	13	17	21	30	27	33	22	16	34	44	25	21	<b>163</b>	<b>303</b>
<b>No of cases open</b>	172	203	185	168	162	139	143	115	115	87	94	109	<b>143</b>	<b>109</b>

26. The number and composition of prior conduct cases as at 4 September 2025 are as follows:

	<b>Declarations by Authorised Persons, Associate Prosecutors (incl appl for reinstatement)</b>	<b>Declarations by applicants for membership &amp; reinstatement (non auth.)</b>	<b>Declarations by existing CILEX members (non. auth)</b>	<b>Total live cases</b>
<b>Number</b>	18	37	13	68
<b>%</b>	26	54	19	100

27. The majority of live cases relate to declarations made by individuals seeking to join CILEX membership for the first time, or reinstate their membership in a non-authorised grade.

	<b>Waiting further info</b>	<b>Ready for referral</b>	<b>Already referred/ report drafted</b>	<b>Awaiting closure</b>	<b>Appeal requested</b>	<b>Cases requiring a Committee decision</b>
<b>Number</b>	18	5	7	6	2	38
<b>%</b>	47	13	18	<u>16</u>	<u>5</u>	<u>100</u>

28. As at 4 September 2025, 38 out of the 68 prior conduct cases are shown as requiring a committee decision. Of the 38:

- 18 live cases that require further information and/or a report to be drafted
- 5 cases are ready to have reports drafted
- 7 have already been referred to the PCP
- 6 have already been considered by the PCP and are awaiting closure (within the appeal period or require referral back to the PCP) and
- 2 have been determined by the PCP and are subject to appeal.

29. The tables below set out the current status of the oldest live cases.

<b>CASE TYPE</b>	<b>DATE OF DECLARATION</b>	<b>CURRENT STATUS</b>
Committee	02/01/2024	Referred to PCP in August 2025. Awaiting closure.
Committee	20/03/2022	Awaiting appeal, scheduled for November 2025
Committee	16/08/2024	Appeal heard in May 2025, at the direction of the Appeals Panel to be remitted back to PCP in November.
Committee	16/09/2024	Referred to PCP to consider in September 2025

30. The current oldest case, received on 2 January 2024 was referred to the PCP on 21 August 2025 and is currently awaiting closure.

<b>CASE TYPE</b>	<b>DATE OF DECLARATION</b>	<b>CURRENT STATUS</b>
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Delegated	12/12/2024	CCJ. Awaiting review of information provided.
Delegated	06/01/2025	CCJ. Awaiting review of information provided.
Delegated	11/03/2025	Conviction. Awaiting further information.
Delegated	08/04/2025	Awaiting further information. Membership discrepancy.

31. There are some older cases that can be disposed of by delegated decision which are awaiting further information. A review of these cases was carried out at the end of August 2025 and steps agreed to action them. The two oldest ones have been reallocated to the new administration officer to chase up the information required and action a decision.
32. Since September 2024 the backlog of prior conduct cases and the overall length of time it takes to deal with cases has been reduced. This is the result of the introduction of internal timescales, a more streamlined process and a broader set of template reports for the PCP and requests for information. A training session was held in June and a further training session will be held before the end of the year.

## Misconduct

Misconduct Complaints														
2025														
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD	FY
No of New Complaints	7	10	12	11	8	15	8						71	
No of Complaints resolved	7	1	6	0	0	15	1	2	5				37	
No of cases open	104	114	120	131	139	140	147						147	
No of cases 'On hold'	36	35	37	36	37	35	34						34	
No of cases - live	68	79	83	95	102	104	113						113	
Misconduct Complaints														
	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	YTD	FY
2024														
No of New Complaints	8	5	7	9	1	2	7	3	5	3	6	4	39	60
No of Complaints resolved	12	12	19	9	7	5	4	3	5	9	2	7	68	94
No of cases open	131	124	112	112	106	103	106	106	106	100	104	101	106	
No of cases 'On hold'	48	50	47	45	41	40	41	40	41	41	40	39	41	
No of cases - live	83	74	65	67	65	63	65	66	65	59	64	62	65	
2023														
No of New Complaints	4	6	7	4	11	4	5	7	5	12	3	3	41	76
No of Complaints resolved	1	1	7	4	8	3	5	3	4	2	6	0	29	63
No of cases open	128	133	132	132	135	136	136	140	141	149	145	138	136	138

No of cases 'On hold'	37	38	39	39	44	45	46	45	45	46	50	49	46	49
No of cases - live	91	95	93	93	91	91	90	95	96	103	95	89	90	89
<b>2022</b>														
No of New Complaints	3	4	5	11	5	8	3	10	8	10	3	3	39	71
No of Complaints resolved	1	4	3	13	4	4	2	1	2	13	9	2	31	59
No of cases open	112	112	114	112	113	117	118	127	133	130	124	125	113	125

33. The current live misconduct case profile is as follows:

As at 4 September 2025	Total Live MC Cases	Authorised Persons	Firms	Unauthorised Persons
Number	141	74	4	63
%	100	52	3	45

34. This is broken down by type of complaint:

	Summary as at 12 August 2025					
	Authorised		Non authorised		Total	
	No	%	No	%	No	%
Dishonesty	18	22	3	5	21	15
Unethical Conduct	34	41	30	54	64	46
Exceeding scope	6	7	14	25	20	14
Technical breach of rules	3	4	1	2	4	3
Insufficient/no details	22	27	8	14	30	22
Total	83	60	56	40	139	100

35. 'Exceeding scope' in this table relates to allegations that Fellows and members have provided reserved legal activities when not entitled to do so.

36. Unethical conduct can be broken down further as follows:

	Unethical Conduct as at 12 August 2025					
	Authorised		Non authorised		Total	
	No	%	No	%	No	%
Exam Malpractice	0		3		3	5
Aggressive/unfair tactics	5		4		9	14
Misleading client	3		5		8	13
Not following client instructions	1		0		1	2
Misleading court	5		2		7	11

Misleading employer	3		1		4	6
Misleading third party	1		4		5	8
Breach of court rules	0		1		1	2
Breach of CRL rules	1		0		1	2
Unprofessional/unethical conduct	6		0		6	9
Failure to act for client	0		3		3	5
Sexual misconduct/discriminatory behaviour	4		0		4	6
Failure to disclose criminal convictions	4		5		9	14
Overcharging	0		1		1	2
Social media	1		1		2	3
<b>Total</b>	<b>34</b>	<b>53</b>	<b>30</b>	<b>47</b>	<b>64</b>	<b>100</b>

37. This analysis was made at some pace based on summary statements in the KPI spreadsheet. It should therefore be regarded as indicative of the nature and range of complaints which are investigated, rather than a definitive report on the range of current complaints.

38. Between 2018 and 2025 26 cases have been determined by the Disciplinary Tribunal:

	<b>Fellow</b>	<b>Member</b>	<b>Total</b>
<b>Exclusion</b>	4	15	19
<b>Reprimand &amp; Warning</b>	1	3	4
<b>Reprimand</b>	1	0	1
<b>Interim Order - 18 mth suspension</b>	0	1	1
<b>Total</b>	<b>6</b>	<b>19</b>	<b>25</b>

39. The number of cases determined by the Disciplinary Tribunal 2018-2025 is:

	<b>Fellow</b>	<b>Member</b>	<b>Total</b>
<b>2018</b>	1	3	4
<b>2019</b>	1	7	8
<b>2020</b>	1	4	5
<b>2021</b>	3	1	4
<b>2022</b>	0	1	1
<b>2023</b>	0	1	1
<b>2024</b>	0	0	0
<b>2025</b>	0	2	2
<b>Total</b>	<b>6</b>	<b>19</b>	<b>25</b>

40. CILEX members account for 40/45% current misconduct investigations and over 75% of the cases determined by the Disciplinary Tribunal.

41. The demands of the current caseload has meant that the time for review of new complaints has been extended from 28 to 56 days. A third Investigating Officer is being recruited primarily to carry out that initial assessment to avoid any further increase in the case numbers.

42. The age profile by year of the current misconduct caseload is as follows:

	Fellow	Firm	Member	Total Live MC Cases
<b>2019</b>	0	0	2	2
<b>2020</b>	1	0	4	5
<b>2021</b>	1	0	3	4
<b>2022</b>	6	0	9	15
<b>2023</b>	6	0	9	15
<b>2024</b>	23	1	15	39
<b>2025</b>	22	0	17	39
<b>TBA</b>	19	3	9	31
	78	4	68	150
<b>Total</b>	74	4	63	141

**TBA** To be allocated

43. The current status of the oldest cases is as follows:

	Date received	Status	Complaint	Current Status
1	02/04/2019	Member	Failure to provide legal rep Conflict of interest	On hold: under investigation by another regulator.
2	14/08/2019	Member	Misleading client Holding out Inadequate records	On hold: under investigation by another regulator.
3	14/08/2019	Member	Forged signature of supervisor in WBL logbook	Awaiting closure
4	25/03/2020	Member	Lied about passing CILEX exams to recover course fees from employer	In process of agreeing DBC
5	10/09/2020	Fellow	s.43 – forging client signature on consent order	DBC agreed and approved by PCP
6	08/10/2020	Member	Abrupt withdrawal of legal service Unfair costs	On hold: under investigation by another regulator.
7	01/12/2020	Member	Non disclosure of OISC investigation	Under review

44. The oldest live misconduct case is the subject of multiple complaints received between April 2019 and June 2025 (3 of which 1, 2 and 6 are listed above). It remains open and on hold pending determination by another legal regulator whether to initiate criminal proceedings. The last update from the other regulator was received on 19 August 2025.

45. The current focus of the team is to prioritise the disposal of the most aged cases. An important function of the initial review process is to reduce the backlog of cases by providing a clear steer for investigation and identifying those cases that raise regulatory concern so they can be closed promptly.
46. Substantive steps were taken to prepare an interim order application in respect of six separate cases (opened between December 2023 and May 2025) against the same, non-authorised individual. In the course of investigation it appeared that although the individual had not paid their CILEX membership fees since first registering in 2021 (and prior to any investigation) the individual continued to be listed as a live member in 2021, 2022, and 2023.
47. The team has to manage a small number of individuals displaying challenging behaviours, mainly complainants who report matters of low to no regulatory concern placing unreasonable demands on enforcement resources.

	Date received	Status	Complaint	Complainant Behaviours
1	27/03/2024	Member	Breach of court rules Contempt of court	Repeated demands to investigate
2	25/11/2024 (following rejection of 18/08/2021 complaint)	Fellow	Unauthorised practice of law Investor fraud	Excessive emails demanding immediate outcome and sanction
3	27/03/2025	Member	Conducting RLA when not entitled	Repeatedly arguing points with no new evidence Not co-operating with investigation
4	27/03/2025 (following rejection of complaints made 11/05/2023 and 21/09/2023)	Fellow	Threatening behaviour Conflict of interest	Excessive emails demanding immediate outcome and sanction

48. Complaints are also received raising matters which are outside CILEx Regulation's jurisdiction to investigate and determine, including:
- complaints about individuals or entities which are either not regulated or regulated by another regulator,
  - complaints raising personal and/or legal disputes, and
  - conduct occurring outside the UK where there has been no adverse finding by an accredited regulator or court of competent jurisdiction.
49. Reviewing and responding to these complaints adversely impacts on the ability to focus on and progress those cases that pose the greatest risk.

## Hearing Schedule

50. There are currently seven cases that have either been referred, or are awaiting referral, to the Disciplinary Tribunal and three appeal cases ready to be heard.
51. One Disciplinary Tribunal hearing and two Appeal Panel hearings have been scheduled for the remainder of 2025, in addition to three PCP meetings.
52. Meeting dates are currently being scheduled in 2026 for:
- seven PCP meetings
  - six Disciplinary Tribunal hearings and
  - four AP hearings
- to secure the availability of panel members and clerks.

## **Areas for Improvement**

### Prior Conduct

53. The Enforcement Rules should be amended to enable more straightforward prior conduct issues to be determined at Investigation Officer level.
54. There are persistent issues in determining the correct membership status of CILEX members. This trend has increased following CILEX's acquisition of the Institute of Paralegals.

### Misconduct

55. The Enforcement Team should develop an enhanced misconduct reporting procedure to filter out concerns that do not meet the threshold for an investigation, similar to the Legal Ombudsman's interactive report.
56. The entitlement of a complainant to a review of a decision by an Investigating Officer not to investigate a complaint should be severely curtailed. This would avoid the current requirement to set out detailed reasons for not investigating a complaint and reduce significantly the volume of reports submitted to the PCP. Complainants to the SRA have a much more restricted entitlement to review than is permitted under the Enforcement Rules.
57. The Enforcement Team would benefit from policies and procedures:
- to manage requests by complainants and members for reasonable adjustments
  - to deal with vulnerable persons
  - to investigate complaints of sexual misconduct and less familiar complaints, such as AML breaches
  - to manage parallel investigations

### Generally

58. Common across CILEx Regulation is the need to update and improve the case management system. In order to justify costs of the order likely to be incurred, it is suggested that this can only practicably be undertaken as a joint project with CILEX once there is some assurance about the future of CILEx Regulation.

59. [REDACTED]

### Conclusion

60. The current round of recruitment to fill current vacancies and increase capacity will go some way in working through some long standing issues.
61. Action 13 of the Regulatory Performance Action Plan 2025 (item 05.03 Board Pack) is a commitment to present an Action Plan to the Board in Q1 2026 (most likely at its meeting on 10 February 2026) 'to implement the outcomes of CILEx Regulation's own review of enforcement practice and address the effectiveness of its enforcement tools in tackling AML breaches of administrative nature'.
62. As well as providing an overview of its performance, this paper explains the progress the Enforcement Team has taken to initiate that review.

### Recommendation

63. The Board is asked to **NOTE** the report.