

**MINUTES OF THE MEETING OF THE  
BOARD OF DIRECTORS OF CILEx REGULATION LIMITED  
held on 13 September 2017**

**Present:**

Sam Younger (Chair), Luisa Fulci, David Gilbertson, Harvey Sandercock

**In attendance (CILEx):**

Millicent Grant, President, CILEx  
Phil Sherwood, Vice-President, CILEx  
Karl Cerski, Director of Group Services and Chief Financial Officer, CILEx  
Linda Ford, Chief Executive Officer, CILEx  
Tony Bunce, Head of Group IT, CILEx

**In attendance:**

Andrew Donovan, Consultant  
Jill Durham, Director of Policy and Enforcement, CILEx Regulation  
Georgina Forde, Practitioner Authorisation and Supervision Assistant, CILEx Regulation (observing)  
David Pope, Entity Authorisation and Client Protection Manager, CILEx Regulation  
Victoria Purtill, Director of Authorisation and Supervision, CILEx Regulation  
Beccy Ryder, Personal Assistant, CILEx Regulation  
Helen Whiteman, Chief Executive Officer, CILEx Regulation  
Helen Whiting, Practitioner Authorisation and Supervision Manager, CILEx Regulation

**Apologies:**

Ian Chivers

**1 Minutes of previous meetings**

The Board considered minutes presented for approval.

**DECISION:**

- To approve the minutes of the meeting on 18 July 2017.

**2 Chairman's Update**

The Chairman gave an overview of his work since the last meeting (minuted confidentially).

### **3 Education Standards Review**

The Board considered an update by Director of Authorisation and Supervision Vicky Purtill, on review of education standards. The Board's discussion is minuted confidentially.

### **4 Annual Reports 2016**

CILEx Regulation Ltd Annual Report: The Board reviewed CILEx Regulation Ltd's annual report and approved this for publication, subject to small changes under Chair's delegated authority.

Admissions and Licensing Committee Report: The Board received the committee's annual report and agreed this for publication subject to small changes.

Investigation, Disciplinary and Appeals Rules Report: The Board received an annual report on the Enforcement function and the work of the disciplinary panels.

Strategic Risk Report: The Board received an executive report on management of strategic risk and agreed this for publication.

#### **DECISION:**

- To record the thanks and appreciation of the Board for the dedication and commitment of members of the committees and panels;
- To approve the reports for publication.

### **5 Marketing**

The Board considered a report by Director of Authorisation and Supervision, Vicky Purtill on sales and marketing activity for practice rights, entity and ABS. The Board's discussion is minuted confidentially.

### **6 CRM Update**

Group Head of IT, Tony Bunce updated the Board on progress of the Group's CRM replacement programme. He also outlined options for the provision of an online portfolio tool.

The Board's discussion is minuted confidentially. It was agreed that a brief update on the progress of the CRM project would be a regular feature of future finance reports.

#### **DECISION:**

- To endorse the approach to provision of an online portfolio tool.

## 7 Finance

Discussion is minuted confidentially.

### **DECISION:**

- To agree the 2017 Budget reforecast;
- To agree the final draft Budget 2018 for inclusion in the Group budget setting process;
- To note the Management Accounts to July 2017;
- To update bank account signatory arrangements on the CILEx Regulation account as proposed.

## 8 2018 Review of Fees and Charges

Vicky Purtil reported proposals for 2018 fees and charges following the development of more robust unit costing of core processes.

Following streamlining of work-based learning assessment it was proposed that the fee for assessment of work-based learning portfolios be increased from £150 to £300, in order to work towards costs recovery. CILEx had been notified of the proposed increase and raised no concerns.

The Board endorsed the increase in fee and asked that a retail price index increase be considered annually to ensure that any future increases were more gradual.

### **DECISION:**

- To approve an increase in the work-based learning portfolio application fee to £300.

## 9 ABS/Client Protection Update

ABS Working Group: The next meeting of the group would be scheduled for October 2017.

Anti-Money Laundering Regulations: Developments were monitored by the Legal Sector Affinity group and a cross-regulator group. Contribution to funding of the costs of the new Office of Professional Body AML Supervisors (OPBAS) was anticipated, although this would be relatively modest, reflecting shared funding arrangements across 23 regulators.

## 10 CMA Market Study

Jill Durham, Director of Policy and Enforcement, updated the Board on progress in response to the CMA recommendations. An action plan had been published on 29 June 2017 and positively assessed by the LSB.

Work had continued to develop the consultation proposals. The focus was on firms and would also impact individual CILEx members working in firms regulated by other regulators if they were delivering services to consumers

and small businesses. CILEx Regulation proposed to roll out transparency provisions in relation to conveyancing and wills first due to the straightforward pricing structure. Regulators were collaborating closely in order to maintain consistency of approach for the benefit of consumers.

CILEx had indicated its willingness to promoting engagement with the consultation through its Conveyancing and Private Client Specialist Reference Groups.

Board members endorsed the approach and agreed that any further small changes to the consultation proposals be signed off under Chair's delegated authority prior to publication by 30 September.

#### **DECISION:**

- To note the LSB assessment of the Action Plan;
- To endorse the approach set out in the draft consultation on transparency;
- To agree that any small changes to the draft before launch of the consultation be approved under Chair's delegated sign-off.

### **11 CEO Report**

CEO, Helen Whiteman updated the Board on key work streams and stakeholder engagement.

MoJ: Helen had attended a regulator roundtable at the MoJ on lawyer status in the EU post Brexit. Significant time and resource would be required to decouple EU law from national domestic law. Agreement was due to be in place by March 2019. Negotiation with the EU was ongoing and the first legislative changes were expected from October 2018. There was no anticipated impact for CILEx Regulation.

### **12 Forward List**

The Board reviewed and agreed its forward list.

**SAM YOUNGER  
CHAIRMAN**