

REPORT TO: CILEx REGULATION BOARD

FOR: DISCUSSION

DATE: 19 SEPTEMBER 2018

REPORT TITLE: CEO REPORT

SUBMITTED BY: Helen Whiteman, Chief Executive Officer

STAKEHOLDER ENGAGEMENT:

Legal Services Board

- 1 On 3 August 2018, the Chair and CEO met their counterparts at the LSB. Items for discussion included ABS designation, regulatory performance, IGR response and the bid for the regulator's pioneer fund.
- 2 The Regulator CEOs meeting at the LSB is scheduled for 18 September, an oral update will be provided at the Board meeting.
- 3 The Director of Authorisation and Supervision has agreed a timetable with the LSB for the removal of reference to QASA (Quality Assurance Scheme for Advocates) within our rules in line with our Education Standards timetable. This follows the BSB's approach to remove reference to QASA in the BSB Handbook which was approved by the LSB in August 2018.

MoJ

- 4 A roundtable took place on 31 August to hear about the Legal Services' Legislation for a No Deal Policy on Brexit. The CEO and Director of Policy & Governance attended by teleconference.

Legal Services Consumer Panel

- 5 The CEO and Chair met with Sarah Chambers, newly appointed Chair of the LSCP on 8 August 2018. Items for discussion included consumer transparency, complaints data reporting, judicial diversity and the availability of LeO data. Sarah Chambers confirmed her attendance at the CILEx Awards ceremony on 6 September.

Legal Choices Website Development Project

- 6 The CEO attended the Legal Choices Governance Board meeting on 17 July. The project progress, risk register and budget were discussed. The project is on track and the next meeting will take place on 25 September.

Remedies Programme Implementation Group (RPIG)

- 7 The CEO attended the RPIG meeting on 17 July and the next meeting is scheduled for 25 September. Minutes from the previous meeting are [found here](#). Both the SRA and CLC's Rules were approved by the LSB, a paper

features elsewhere on our agenda seeking Board approval for our Rules and Guidance. This will be submitted to the LSB for decision and we are liaising with other regulators in relation to comms.

CILEx

- 8 Board member Harvey Sandercock attended the President's inauguration for Phil Sherwood on 19 July.
- 9 The Group Executive met with Group Board members, Chris Bones and Stephen Lee to discuss the Group Strategy in more detail following the Group Board Strategy meeting at the beginning of July. The CEO has been supporting the work of the Group Executive in preparation for the September Group Board meeting.
- 10 The SMT met with members of the Finance Committee and Audit and Risk Committee to provide an overview of CILEx Regulation as part of their inductions to the Group. The SMT will meet with CILEx President, Phil Sherwood, on 11 September.
- 11 CILEx Regulation hosted a table at the CILEx Professional Awards which took place on 6 September. CILEx Regulation sponsored the Legal Expert Award which was won by Philippa Morgan. Guests on our table included Neil Buckley (LSB CEO), Sarah Chambers (LSCP Chair), Paul Harrington (Chartered Legal Executive and winner of LinkedIn competition), Professor Lisa Webley (University of Birmingham), John Kunzler (Marsh) and Geoff Dunnett (ShieldPay – escrow provider).
- 12 CILEx Regulation is co-ordinating a CILEx Group table for the Legal Diversity Awards on 21 November.

COMMUNICATIONS:

Regulation Matters

- 13 The CEO filmed with Elizabeth Prochaska, Legal Director at Equality Human Rights. They discussed the Commission's report published in March this year: "Turning the tables: Ending sexual harassment at work".
- 14 The Director of Authorisation and Supervision and Entity Manager attended the Legal Hexagon Networking event on 22 August at which 50 members were present.
- 15 The CEO will attend the 'Women in the Law' event on 20 September and the British Nigeria Law Forum (BNLF) annual dinner on 30 November.

OPERATIONS:

Job Role Evaluation

- 16 The SMT had a further meeting with the external HR agency undertaking the job role evaluation exercise to confirm all the information provided to them

was correct. This will now be fed into their benchmarking system. Results are expected towards the end of September 2018.

Recruitment

- 17 Stuart Dalton, Director of Policy and Enforcement and Francine Allgood, Investigation Manager, joined the business on 28 August. Sarita Nar, Investigations Assistant, left CILEx Regulation on 15 August to take up a new role at the FCA. A locum will continue to support the Investigations team for the next six months while a new Officer is recruited.
- 18 The PAS team are recruiting to fill the vacant position of Senior Administrator.

Staff Training

- 19 Staff attended vulnerable consumer training on 5 September led by Jim Ferran, a follow-up session will be arranged for the new year.
- 20 Nominated staff attended training for SharePoint as part of the transition to the Office 365 suite. Transition to SharePoint from the F drive will be led by the IT department.
- 21 An away day has been organised for Managers' on 27 September. The day will be facilitated by an external.
- 22 The KPI schedule reported to Board will be enhanced to identify ongoing training as well as ad hoc training provided by the company to its staff.