

## CILEx Regulation Ltd

### Scheme of Reservation and Delegation

The Board has decided that certain decisions may only be exercised by the Board in formal session, except where emergency or urgent decisions are needed. These matters reserved to the Board are set out below.

All matters not expressly reserved to the Board in this Scheme of Reservation are delegated to the Chief Executive.

### Matters reserved to the Board

<b>1. Strategy and Finance</b>	
1.1	Overall responsibility for CILEx Regulation, ensuring compliance with the objects of the Company.
1.2	Approval of CILEx Regulation's mission, long term objectives and strategies.
1.3	Approve or amend budgets, including decisions on allocation of budget between individual programmes, operating costs and any central contingency in the light of guidance from the Chief Executive as to available resources.
1.4	Approve Protocols and methods of working with CILEx
1.5	Any decision, which substantively alters a strategy or policy formally agreed by the Board
1.6	Strategic decisions when costs exposure in all current litigation totals £30,000, and strategic decisions in individual cases when costs in a case reach £20,000 and; thereafter, in either circumstance, as exposure to costs increase by £20,000.
1.7	Approval of the group's risk management arrangements.
1.8	Receiving reports on and reviewing the effectiveness of the risk management processes.
1.9	Decisions on the allocation of unforeseen income to a particular budget.
1.10	Review of performance in the light of the agreed strategy, objectives, business plans and budgets and ensuring that any corrective action is taken
1.11	Approval of a comprehensive system of internal control, including budgetary controls, that underpin the effective, efficient and economic operation of the organisation.
<b>2. Governance, Regulations and control</b>	
2.1	Making recommendations to CILEx to change/amend the Company's objects, M&As etc.
2.2	Approval or amendment of standing orders and the Scheme of Reservation and Delegation.
2.3	Referral of strategic or regulatory policy matters or issues to the LSB.
2.3	Decisions on the creation, changes, maintenance, terms of reference, leadership and membership of board committees.
2.4	Receive reports from board committees and ratify/reject any recommendations
2.5	Decisions to grant, or vary, power, role, responsibilities and authority levels to the Chief Executive; and in doing so specify by implication the ones that the Board reserves to itself.
2.6	Establish, review, amend and approve key organisational policies. Key organisational policy areas are Finance, Governance, Equality and Diversity, counter-fraud and security, Enforcement or Education policies. Policy approval is delegated to the Chief Executive for the following policy areas: HR, customer service, Business Continuity, Health & Safety, complaints, communications, Information Governance and facilities. Any policy areas not specifically reserved to the Board are delegated to the Executive.
2.7	Approve arrangements for joint working with CILEx covered by the Legal Services Board's Internal Governance Rules
2.8	Approve proposals for action on litigation against or on behalf of CILEx Regulation (except pursuing debtors).
<b>3. Appointments</b>	
3.1	Approve the appointment and removal processes for Board Members, Panellists, the Chief Executive or Executive Directors and succession-planning.
3.2	Agree procedures for the effective evaluation of the Board and of individual Board Members
3.3	Decisions to appoint or remove the external auditors and to determine their remuneration
3.4	Delegated to the Appointments Committee: Approve the remuneration for Board members, Chief Executive and Executive Directors (bar annual inflationary increases for all staff).
3.5	Delegated to the Chief Executive: Approve terms and conditions of employment for all employees of CRL including, pensions, remuneration, fees and travelling or other allowances payable to

	employees and to other persons providing services to the group, bar Board members.
<b>4. Contracts and Transactions</b>	
4.1	Decisions to enter into any contracts of a gross value of more than £50,000, as a single item of expenditure or over the lifetime of the contract, subject to the Chief Executive's advice.
4.2	Significant decisions relating to any transaction in which a Board member, Chief Executive or Executive Director has a direct or indirect material interest.
4.3	Any matter where a Board Member, Chief Executive or Executive Director's personal interest might conflict with his, or her, duty to the CILEx Regulation, e.g. procurement issues.
4.4	Delegated to the Chief Executive: Approval of the organisation's contracts for corporate support services such as HR and Finance
<b>5. Disclosure</b>	
5.1	The approval of the Annual Report and Accounts.
5.2	Approval of the Publication Scheme and Transparency policy.
5.3	PR Policy and decisions around image.
<b>6. Education</b>	
6.1	To approve new qualifications, their components and associated assessment methodology.
6.2	To approve any substantive changes to qualifications, their components and associated assessment methodology.
6.3	To approve qualification and experience criteria proposed for admission to any new regulated membership grade.
6.4	To approve experience criteria for admission to regulated membership grades.
6.5	To approve the policy for granting exemption from units or qualifications awarded by CILEx.
6.6	To approve the policy for accrediting, monitoring and withdrawing accreditation from centres providing courses for CILEx qualifications.
6.7	To approve CPD regulations and requirements for CILEx members, arrangements for monitoring compliance by members and recognised CPD activities.
6.8	To approve educational standards

Approved: by the Board on 12 February 2009

Last reviewed: 2 May 2019