

REPORT TO: CILEx REGULATION BOARD

DATE: 15 JULY 2020

FOR: APPROVAL

REPORT TITLE: ITEM 9 - ANNUAL REPORTS 2019

SUBMITTED BY: Stuart Dalton, Director of Governance
Vicky Purtil, Director of Authorisation and Supervision

PURPOSE OF REPORT:

- 1 To present the CILEx Regulation Ltd 2019 annual report for sign off. To report to the Board on the work of committees and the operation of the risk framework.

BACKGROUND:

- 2 In addition to the main CILEx Regulation Ltd annual report, the following regulatory responsibilities provide for annual report to the Board:
 - The Admissions and Licensing Committee Rules provide at Rule 2 for the committee to report to the Board annually.
 - The Enforcement Rules provide at Rule 41 for an annual report on the work of the Investigators, Professional Conduct Panel, Disciplinary Tribunal and Appeals Panel.
 - The Strategic Risk Committee Rules provide at Rule 4 for an annual report and recommendations concerning the operation of the risk framework.
 - The Compensation Fund annual report, which, following the winding up of the CILEx Compensation Fund Ltd, is provided to the Board for review, owing to their position as Trustees of the Fund
 - The Anti-Money Laundering (AML) annual report, which provides the Board with oversight of the actions taken during the year relating to the responsibilities of CILEx Regulation as a Supervisory Body under the Money Laundering Regulations
- 3 One additional annual report has been created for 2019:
 - CLE Apprenticeships External Quality Assurance Annual Report 2019

RECOMMENDATION:

- That the thanks and appreciation of the Board for the dedication and commitment of members of the committees and panels be recorded.
- That the Board approve the following for publication:
 - CILEx Regulation Ltd Annual Report 2019.
 - Admissions and Licensing Committee Report 2019.
 - Investigation, Disciplinary and Appeals Report 2019.
 - Strategic Risk Committee Report 2019.
 - Anti-Money-Laundering Annual Report 2019.

- Compensation Fund Annual Report 2019.
- CLE Apprenticeships External Quality Assurance Annual Report 2019.

APPENDICES:

Appendix 9.1: CILEx Regulation Ltd Annual Report 2019 (Chairs Foreword)

Appendix 9.2: Admissions and Licensing Committee Annual Report 2019

Appendix 9.3: Enforcement Annual Report 2019

Appendix 9.4: Strategic Risk Annual Report 2019

Appendix 9.5: Anti Money-Laundering Annual Report 2019

Appendix 9.6: Compensation Fund Annual Report 2019

Appendix 9.7: CLE Apprenticeships External Quality Assurance Annual Report 2019