

	CILEx Regulation Limited
Date	24 February 2022
Item	5.0
Title	Chief Executive's Report
Author	Janine Griffiths-Baker, Chief Executive (Interim)
Purpose	This report updates the Board on key activities across the organisation since 16 November 2021
Recommendation	The Board is invited to NOTE this report
Timing	N/A
Impact assessment	None
Appendices	None
For publication	Yes

Legal Services Board

Applications and submissions

1. On 21 January 2022, CILEx Regulation Limited (CRL) submitted an application to the Legal Services Board (LSB) to amend its regulatory arrangements (by exemption) following CILEX's decision to rename its membership grades from 1 January 2022. This application will permit CRL to amend rules and regulations to reflect the new CILEX member grades. A decision is expected by 18 February.
2. CRL submitted an application on 27 January 2022 to the LSB for approval of its policy rules and guidance relating to the mutual recognition of professional qualifications (MRPQ). A decision is expected on 23 February.
3. An application was submitted on 28 January 2022 to the LSB to extend the temporary alterations to CRL's Enforcement Rules, specifically the provisions that allow for a presumption of remote disciplinary panel hearings owing to the coronavirus pandemic. The extension was requested until 31 August 2022, subject to CRL's intention to submit a full rule change application by that date. The LSB approved the application on 1 February 2022.

Reports and consultations

4. CRL submitted its response to the LSB's consultation on Consumer Empowerment on 18 November 2021. The LSB received 21 responses in total and has indicated that there was general support for the principles outlined in the paper. The final statement will be considered by the LSB Board in March 2022 for publication in April.
5. A response to the consultation on the LSB's Business Plan was submitted on 26 January 2022.

6. The Chief Operating Officer has prepared a response for the Board's approval on the LSB's current open consultation on ongoing competence (*infra* at Agenda Item 10).

Transparency and CMA work

7. Phase two of the joint regulator pilot project on 'Quality Indicators' (QI) to which CRL is contributing is continuing well. The project is now exploring firms' willingness to publish objective third-party data and their experiences of the process. Digital comparison sites have indicated that they may use such data in the future but have no current plans to do so. The project team met with Ofcom and Ofgem to gain a better understanding of existing accreditation schemes. Feedback was also provided on the Legal Services Consumer Panel's tracker survey relating to 'shopping around'.
8. CRL continues to attend briefing sessions by the Solicitors Regulation Authority (SRA) on its "unbundling" pilot.
9. The Chief Executive attended the third meeting of the LSB-led Market Transparency Coordination Group (MTCOG) on 24 January 2022. The following matters were discussed:
 - feedback from the LSB's consultation on empowering consumers
 - the LSB's proposed approach to evaluating its strategy and what measures regulators should have in place for evaluation
 - the update on the quality indicators pilot
 - the SRA's work on its 'unbundling' pilot
 - the report from the Task and Finish Group on the provision of a 'Regulatory Information System' (single digital register)
 - the next meeting of the Public Legal Education Group.
10. CRL continues to contribute to the MTCOG Task-and-Finish Group that is carrying out work on the provision of a Regulatory Information Service (formerly single digital register). The group has commenced work on a 'discovery' document which will provide information and policy recommendations to MTCOG, together with a 'proof of concept'.
11. On 31 January 2022, the Director of Operations represented the Chief Executive at the second meeting of the MTCOG's Public Legal Education Group led by the Bar Standards Board (BSB). CLR is contributing to the working group on immigration, which seeks to improve information to consumers in this area.
12. The extension to CRL's Transparency Rules to include immigration law went live on 24 January 2022. Firms carrying out work in this area have been informed that compliance with the rules is expected as soon as possible. CRL has offered additional support if required.
13. Several CRL firms have added the Legal Choices dictionary to their websites after CRL encouraged its use. Following CRL's approach to 140 law clinics, Legal Choices has noted a surge in frontline advisers signing up to the 'App' that asks regular questions to support content development.

Staffing and operations

Staffing

14. The vacant position of Practitioner, Authorisation and Supervision Officer has been filled. The successful candidate will be joining the team on 28 March 2022.
15. The positions of Director of Governance, Policy and Legal and Manager of Policy and Stakeholder Engagement are currently being advertised. Interviews are scheduled to take place on 8 and 11 March.
16. The Policy Innovation Officer left CRL on 12 January 2022 after providing one week's notice of her intention to accept a post with the Civil Service. Appointment to this vacant position will be considered following the recruitment process for the Manager of Policy and Stakeholder Engagement.
17. The Interim PA to the Chief Executive, Chair and Executive Team has tendered her resignation having been offered a permanent position elsewhere. She will be leaving CRL on 18 February. Interviews are currently taking place for her replacement.

Premises

18. Following recent Government advice, CRL's Wrest Park office has re-opened and is available for colleagues to book, as required.

CRM update

19. The Chief Executive and Chief Operating Officer continue to meet weekly with the CILEX Project Co-ordinator. Progress across all areas is continuing well.

Recent issues being addressed include:

- CILEX encountered some problems with renewals this year that affected the accuracy of data at the end of last year.
- Work is continuing on CILEX Learn (the platform to enable WBL portfolio submissions).
- The development of CRL's Portal is in progress to enable applications to be submitted online.
- Risk Matrices work is in the final stages of testing and should go live in March.
- Work on the Entity Directory continues to ensure that it meets LSB requirements.
- Data migration for enforcement is continuing but requires significant resources from the enforcement team to be brought to a conclusion.
- Consideration is being given to take up the option of direct debit payments for CRL, including requirements regarding FCA accreditation.
- A review of prior conduct workflow is in progress, but will require changes to be agreed by the Professional Conduct Panel before implementation.
- Difficulties have arisen with the speed of the Practitioner Directory

Shared services

20. The Interim Director of Governance has commenced a review of CRL's agreements with CILEX on shared services to ensure that appropriate service-level and operational-level agreements are in place and are working effectively. CILEX has indicated that it wishes to stop providing HR support under the existing agreement from the end of March 2022. The Interim Director of Governance is meeting with the Chief Operation Officer from CILEX this month to discuss the financial and practical implications of such a change.

Stakeholder engagement

Communications

21. Activities undertaken since the last Board meeting are set out in Table 1 below.

Table 1

Category	Subject	Date
Press release and news item	LSB Assessment - CRL meets all assessment criteria	6 January 2022
Website news item and social media	New LeO complaints resources	12 January
	Enforcement rules 2021	25 October 2021
	Coroners Court new guidelines	26 October
	Qualifying employment assessment fee increase from 1 Jan 2022	22 November
CILEX Journal articles and Regulation Matters website features	Know when to cease acting	20 January 2022
	Empowering consumers	20 January
	Diversity data: Unlocking better regulation	20 January
CILEX Journal Spring edition	Content TBC	End of March publication
Social Media (LinkedIn and Twitter)	Job vacancies	26 January 2022
	Career development	25 January
	CILEX Journal	21 January
	Practising Rights	19 January
	Job vacancies	17 & 21 January
	Legal Choices website (signposting)	14 January
	Time for new beginnings (self-employment)	12 January
	LSB Assessment CRL meets all assessment criteria	6 January
	Advocacy Rights	30 December
	CLE – are you ready?	28 December
	Christmas message	13 December
	Know your Obligations	2 December
	QE fee increase	2, 14 & 22 December
	FCA rules	29 November
	Board update	24 November
	QE fee increase	23 November
	CRL Strategy Launch	22 November
	Benefits of CLE status	16 November
	Choosing a Lawyer	13 November & 16 Dec
	Cyber insurance	12 November
	Regulation Matters Newsletter	5 November
	Staff diversity	28 October
Anti-Money Laundering	27 October	
2021 Enforcement Rules	26 October	

Practising Certificate communications (working with CILEX)	How do we use your fee? (infographic)	November 2021 and ongoing (CILEX sending out with renewal invoices. Also to go on our website and social media.)
Regulation Matters website - Board update	Board update (first one)	22 November 2021 Next is scheduled for end of January 2022
Regulation Matters Newsletter	Content TBC	Next edition end of February
Annual Reports	Formatted and published on the CRL website	Yearly
Summary of Legal Sector news	Sector News	Weekly
CILEX eShot updates	Including: CPD, Legal Entity (start your own business), Enforcement Rules change, Prior Conduct, know your obligations, Advocacy, Role vacancies, Practising Rights.	Weekly

External meetings

22. Since the last Board meeting, there have been fifty senior meetings. A summary is contained in Table 2 below.

Table 2

09 November 2021	LSB/CRL Meeting	CRL Chief Executive, Chair of Board and Board Members
10 November 2021	CILEX: External Relations Sub-Committee meeting	CRL Chief Executive, Chair
11 November 2021	LSB review of regulatory performance framework	CRL Chief Executive and CRL Chief Operating Officer
	OPBAS Intel Sharing Workshop	Director of Operations
12 November 2021	ACCA meeting on joint professions and EDI research	CRL Chief Operating Officer
	CRM Weekly update CILEX / CRL	CILEX and CRL Chief Executive and CRL Chief Operating Officer
18 November 2021	Meeting with CLE Apprenticeship Employer Group Chair	CRL Chief Operating Officer
19 November 2021	CRM Weekly update CILEX / CRL	CILEX and CRL Chief Executive and CRL Chief Operating Officer
24 November 2021	SIS annual membership meeting	Director of Operations
25 November 2021	Discussion with SRA re workplace culture research	CRL Chief Operating Officer CRL Consumer Engagement and Policy Officer
	Discussion with Marsh	CRL Chief Operating Officer and Director of Operations
	CRM Weekly update CILEX / CRL	CILEX and CRL Chief Executive and CRL Chief Operating Officer
29 November 2021	Regulators' Forum EDI Group	CRL Chief Operating Officer and CRL Consumer Engagement and Policy Officer
30 November 2021	Law Care 'Life in the Law' roundtable	CRL Chief Operating Officer
2 December 2021	LSB relationship management meeting	CRL Chief Executive and CRL Chief Operating Officer

3 December 2021	ACCA/ Barbri: Will and probate course review	CRL Chief Operating Officer and Director of Operations
	CRM Weekly update CILEX / CRL	CILEX and CRL Chief Executive and CRL Chief Operating Officer
6 December 2021	Regulators' Forum	CRL Chief Operating Officer and CRL Consumer Engagement and Policy Officer
9 December 2021	Shield Pay meeting	CRL Chief Operating Officer and Director of Operations
	ICAEW/IPReg meeting re joint working on compensation arrangements	CRL Chief Operating Officer and Director of Operations
	Home Buyers Sellers Group Meeting	Director of Operations
14 December 2021	QI meeting	Director of Operations
17 December 2021	CRM Weekly update CILEX / CRL	CILEX and CRL Chief Executive and CRL Chief Operating Officer
4 January 2022	Marsh	CRL Chief Operating Officer and Director of Operations
7 January 2022	CRM Weekly update CILEX / CRL	CILEX and CRL Chief Executive and CRL Chief Operating Officer
10 January 2022	ULaw initial review of results of pilot	CRL Chief Operating Officer and Director of Operations
13 January 2022	Joint professions EDI research working group inaugural meeting	CRL Chief Operating Officer
	Discussion with The Cashroom re options for client money	CRL Chief Operating Officer and Director of Operations
14 January 2022	ACCA/LSB meeting re probate transfer	CRL Chief Executive and CRL Chief Operating Officer
17 January 2022	LSB meeting re restructure	Legal Services Board, CRL Chief Executive, Chief Operating Officer and CRL Interim Director of Governance
	CPS meeting re training and practising certificates	CRL Chief Operating Officer and Director of Operations
18 January 2022	Shared Services meeting with CILEX	CILEX, Chief Executive, CRL Chief Executive, CRL Chief Operating Officer, CRL Interim Director of Governance and CILEX Chief Financial Officer
19 January 2022	LSB roundtable on LSB proposed business plan	CRL Chief Operating Officer
20 January 2022	CLE apprenticeship Employer Group meeting	CRL Chief Operating Officer
	SRA meeting on Post 6 years Run Off	Director of Operations
25 January 2022	CILEX Strategy Meeting (Oxford)	CILEX CEO, CILEX Chair, CRL CEO and CRL Chair
27 January 2022	CRM Weekly update CILEX / CRL	CILEX and CRL Chief Executive and CRL Chief Operating Officer
	Regulators' Forum EDI Group	CRL Chief Operating Officer CRL Consumer Engagement and Policy Officer
	The Lawtech Sandbox	Director of Operations
28 January 2022	CILEX CEO and CRL Interim CEO Catch up	CRL Chief Executive and CILEX Chief Executive
31 January 2022	SRA/BSB/FCA re CMC fee cap	Director of Operations
	PLE Meeting	Director of Operations
1 February 2022	Workshop on Immigration advice	Director of Operations
4 February 2022	CRM Weekly update CILEX / CRL	CILEX and CRL Chief Executive and CRL Chief Operating Officer
7 February 2022	CILEX Apprenticeship meeting with Training Providers	CRL Chief Operating Officer
8 February 2022	Westminster Legal Policy Forum: Ongoing competence	CRL Chief Operating Officer

9 February 2022	ULaw review of pilot	CRL Chief Operating Officer and Director of Operations
	Legal Choices Board Meeting	CRL Chief Executive Officer
11 February 2022	CRM Weekly update CILEX / CRL	CILEX and CRL Chief Executive and CRL Chief Operating Officer
16 February 2022	LSB relationship management meeting	CRL Chief Executive Officer, Chief Operating Officer and CRL Interim Director of Governance

Recommendation

23. The Board is asked to **NOTE** the Chief Executive's Report.