

Regulatory performance assessment framework

For the public, with the professions: Framework for effective regulation in the legal services sector.



Standard 1: Well-led

Regulators are well-led with the resources and capability required to work for the public and to meet the regulatory objectives effectively.

	Characteristics	Examples of Evidence	Relevant CRL publications	Action	Timing			
					Start	End		
1	A clear sense of purpose and strategy focused on regulation in the public interest and ensuring public confidence in the regulator.			Evidence published on CRL Website			Ongoing	
		§ Strategy/vision	Strategic Objectives 2022-24 - CILEx Regulation	Review CRL Strategy	Q1 2024	Q4 2024		
		§ Values statement	CILEx Regulation Values					
		§ Business plan	Strategy-Implementation-plan-2023.pdf (cilexregulation.org.uk)	Agree Business Plan 2024	Q3 2023	Q4 2023		
		§ Board involvement in development and direction of strategy		Board meetings Agree Business Plan Board away day Agree CRL Strategy			Ongoing	
		§ Board away day		Each year	Q2 2023		Ongoing	
2	Board takes ownership of and accountability for the organisation's performance and for meeting the regulatory objectives; holds its executive to account.	§ Governance manual/handbook	Governance https://cilexregulation.org.uk/wp-content/uploads/2023/06/Appendix-5-Performance-data-for-Governance	Review each year	Q2 2023			
		§ Board and Committee attendance levels	Board Meetings https://cilexregulation.org.uk/wp-content/uploads/2023/07/Board-Member-attendance-to-meetings-telecons-in-2023.pdf	Publication attendance record prior year				
		§ Number of Board and Committee meetings	Board Meetings					
		§ Board agendas and minutes – evidence of Board taking decisions	Board Meetings	CRL website regularly updated			Ongoing	
		§ Progress against planned activity	Annual Reports https://cilexregulation.org.uk/wp-content/uploads/2023/06/Appendix-5-Performance-data-for-BSC-FOR-PUBLICATION.pdf	Standing item at Board meetings			Ongoing	
		§ Performance against KPIs	Complaints about us - CILEx Regulation	Annual report to Board	Q1 2023			
		§ Complaints about the regulator	Complaints about us - CILEx Regulation 13.0-Annual-CRL-Complaints-Compliments-Report-23022023-FOR-PUBLICATION.pdf (cilexregulation.org.uk)	2 links on website - Annual report to Board				
				Annual report to Board				
		§ Board effectiveness reviews	https://cilexregulation.org.uk/wp-content/uploads/2023/04/STRATEGY-3.03-Board-Evaluation-Review-9-May-23-avoid-appeal.pdf https://cilexregulation.org.uk/wp-content/uploads/2023/07/STRATEGY-3.02-Board-Evaluation-Review-9-May-23-avoid-appeal.pdf https://cilexregulation.org.uk/wp-content/uploads/2023/07/STRATEGY-3.01-Board-Evaluation-Review-9-May-23-avoid-appeal.pdf https://cilexregulation.org.uk/wp-content/uploads/2023/07/STRATEGY-3.0-Board-Evaluation-Review-9-May-23-avoid-appeal.pdf	Annual review	Q2 2023		Ongoing	
				Annual review	Q2 2023		Ongoing	
				Annual review	Q2 2023		Ongoing	
				Annual review	Q2 2023		Ongoing	
		§ Annual accounts and reporting of data to Board and publicly	Annual Reports including Annual accounts	Annual accounts approved by Board	Q2 2023			
		§ Board and Executive meet regularly to foster collaborative relationships		Board meetings Teleconferences Strategy days				
3	Independent of the regulated professions but understands and collaborates effectively with the profession and representative groups to meet the regulatory objectives.	§ Compliance with IGRs	LSB investigation CILEX and CRL final report (legalservicesboard.org.uk)	IGR processes engaged to resolve dispute with representative body				
		§ Examples of collaborative work and attempts at collaboration		Collaboration: EDI, data collection, AML & Sanctions				
		§ Examples of innovative work	Firms authorised to provide legal services - CILEx Regulation	see also Characteristic 12				
4	Understands the needs of consumers and the public interest and assesses the impact of its work in meeting their interests.	§ Research into public concerns		Commission stakeholder and regulated community perceptions survey	Q2 2024			
		§ Research into levels of public confidence in the regulator		Evaluation Transparency Rules	Q3 2023			
		§ Assessment of impact of regulator's work in addressing concerns raised by and issues facing the public						
5	Delivers high levels of transparency, including ensuring decisions are clear and accessible to all those with an interest.	§ Publication policy	Governance Transparency Policy https://cilexregulation.org.uk/wp-content/uploads/2023/07/CRL-Annual-Report-2022.pdf					
		§ Annual Report	Financial Statements 2021	To be updated for 2022 in late July 2023				
		§ Annual accounts and reporting of data to Board and publicly						
		§ Board papers and minutes	Board Meetings - CILEx Regulation					
		§ Costs report	Costs Transparency Statement 2021	Once financial statements 2022 agreed this will go to Board	Q3 2023			
		§ KPIs and performance reports	https://cilexregulation.org.uk/wp-content/uploads/2023/06/Appendix-5-Performance-data-for-BSC-FOR-PUBLICATION.pdf https://cilexregulation.org.uk/wp-content/uploads/2023/04/STRATEGY-4-KPIs-and-assurance-FOR-PUBLICATION-9-May-23.pdf					
		§ Complaints about the regulator	13.0-Annual-CRL-Complaints-Compliments-Report-23022023-FOR-PUBLICATION.pdf (cilexregulation.org.uk)					
		§ Regulator engagement with stakeholders		Collaboration: EDI, AML & Sanctions, Legal Choices, MTCOG PLE, Research Forum, Digital Exclusion research			Ongoing	
		§ Process in place to ensure plain English approach to communications	https://cilexregulation.org.uk/wp-content/uploads/2020/05/Client-Care-Letters-Research-Report-FINAL-201016.pdf https://cilexregulation.org.uk/wp-content/uploads/2020/05/CILEx-Regulation-Risk-Management-Key-Principles-for-Client-Care-Letters.pdf.pdf					
		§ Consumer engagement strategy including vulnerable consumers	I am a member of the public - CILEx Regulation	Consumer page on CRL website refreshed & explanatory video posted				
		§ Diversity report	Diversity-Report-2021.pdf (cilexregulation.org.uk)	2023 Diversity Report	Q3 2023			
		§ Clear terms of reference for the Board and associated committees (and for staff)		Revised draft prepared for Board approval. The Admissions & Licensing Committee & Strategic Risk Committee have rules as well as ToR.				
§ Consideration of diversity of the Board (and of staff)	CRL Diversity Data 2021 - CILEx Regulation							
§ Board review processes		Annual appraisal of Chair and Board members						
§ Appointment processes and terms	https://cilexregulation.org.uk/wp-content/uploads/2023/04/Board-Committee-and-Panel-Periods-of-Appointment-May-2023-FOR-PUBLICATION.pdf							

		§ Code of conduct (for Board and staff)	https://cilexregulation.org.uk/wp-content/uploads/2023/04/Code-of-Conduct-for-Board-members-May-2023-FOR-PUBLICATION-1.pdf				
		§ Disciplinary processes	https://cilexregulation.org.uk/wp-content/uploads/2023/04/Code-of-Conduct-for-Board-members-May-2023-FOR-PUBLICATION-1.pdf	Currently no formal process			
		§ Skills review processes		Skills review incorporated into Board appraisals			
		§ Internal/External Audit	CILEX-Regulation-Financial-Statements-2021.pdf (cilexregulation.org.uk)	External Audit of Financial Statements being updated after 2022 Accounts published			
		§ Risk outlook		Strategic Risk Register and Risk Heat map both confidential.			
		§ Risk policy					
		§ Risk assessment policy					
				Board review	Q3 2023		
6	Understands, secures and deploys the necessary resources to support meeting the regulatory objectives, including through collaboration where relevant.	§ Numbers of staff assigned to regulatory activities against number of vacancies	Appendix-5-Performance-data-for-BSC-FOR-PUBLICATION.pdf (cilexregulation.org.uk)	included in Balanced Scorecard			
		§ Training available to staff and decision makers	Appendix-5-Performance-data-for-BSC-FOR-PUBLICATION.pdf (cilexregulation.org.uk)	All staff are required to completed mandatory training . Other training is made available as appropriate. Two members of staff currently sponsored through professional training. Face to face training sessions for panellists and Tribunal members 2X pa			
		§ Cost of regulation information	2021-Cost-Transparency-Statement.pdf (cilexregulation.org.uk)				
		§ Practising Certificate Fee	CILEX/CRL PCF Application 2023 (legalservicesboard.org.uk) https://legalservicesboard.org.uk/wp-content/uploads/2022/12/20221220-CILEX-CRL-PCF-Decision-Notice-2023.pdf				
		§ HR monitoring of staff turnover rates	07.5-Board-KPI-Data-Q4-2017-Q4-2022.pdf (cilexregulation.org.uk)	Staffing covered at each Board meeting in CEO & DoO reports			
		§ Contingency planning (to deal with resource pressures)	9.0-People-strategy-2023-4-redacted.pdf (cilexregulation.org.uk)	appropriate resourcing in place for CRL to carry out its regulatory functions effectively and efficiently			
7	Understands the legislative and policy framework within which it operates; works constructively and in collaboration with the LSB, other relevant authorities and relevant stakeholders.	§ Consideration and evaluation of Board engagement with the regulated community and others (eg OPBAS, CMA)		Commission stakeholder and regulated community perceptions survey	Q2 2024		
		§ Horizon scanning		3 year Strategy cycle			
		§ Feedback from stakeholders		Comments from MoJ on AML supervisory review and HMLR on Lawyer Assurance work.			
		§ Information about the market that is available					
8	Has fit for purpose governance systems that align to best practice.	§ Governance manual/handbook	CILEX Regulation Board - CILEX Regulation	Terms of Reference (or rules) are in force for the Professional Conduct Panel, the Disciplinary Tribunal , the Appeals Panel, Admissions & Licensing Committee and the Strategic Risk Committee			
		§ Clear terms of reference for the Board and associated committees (and for staff)	https://cilexregulation.org.uk/wp-content/uploads/2023/07/Matters-reserved-to-the-Board-May-2023.pdf	All members of staff have Job Descriptions which set out their roles and responsibilities.			
		§ Consideration of diversity of the Board (and of staff)	CRL Diversity Data 2021 - CILEX Regulation				
		§ Board review processes	https://cilexregulation.org.uk/wp-content/uploads/2023/07/Chair-and-Board-Member-Appraisal-Arrangements-May-2023.pdf	Annual review of Governance Framework	May		Ongoing
		§ Appointment processes and terms	https://cilexregulation.org.uk/wp-content/uploads/2023/04/Board-Committee-and-Panel-Periods-of-Appointment-May-2023-FOR-PUBLICATION.pdf				
		§ Code of conduct (for Board and staff)	https://cilexregulation.org.uk/wp-content/uploads/2023/04/Code-of-Conduct-for-Board-members-May-2023-FOR-PUBLICATION-1.pdf				
		§ Disciplinary processes					
		§ Skills review processes		Skills review incorporated into Board appraisals			
		§ Internal/External Audit	CILEX-Regulation-Financial-Statements-2021.pdf (cilexregulation.org.uk)	Being updated to 2022 very shortly.			
		§ Risk outlook		Risk Management Policy agreed by Board. Strategic Risk Register and Risk Heat map both confidential.	Q3 2023		
		§ Risk policy					
		§ Risk assessment policy					

Standard 2: Effective approach to regulation

Regulators act on behalf of the public to apply their knowledge to identify opportunities and address risks to meeting the regulatory objectives

	Characteristics	Examples of Evidence	Relevant CRL publications	Action	Timing	
					Start	End
9	Has a comprehensive understanding of the market it regulates, including the consumers of services, and proactively identifies risks to the regulatory objectives; has a clear programme of activity to address those risks.	§ Investment in research and research plan		Currently liaising with other legal regulators to determine the scope for working together on research projects. Confirmed support in principle for research on RIS.		
		§ Published programmes of activity	Strategy-Implementation-plan-2023.pdf (cilexregulation.org.uk)	Within the implementation plan, but not a separate published programme.		
		§ Strategic and business plans	Strategic Objectives 2022-24 - CILEX Regulation Strategy-Implementation-plan-2023.pdf (cilexregulation.org.uk)			
		§ Risk management policy which explains approach to identifying current and future policy developments and their impact including risks		Risk Management Policy agreed by Board Risk Register and Heat Map presented to Board at each meeting.	Q3 2023	
		§ Risk outlook and explanation as to how this has informed regulatory activity		Risk Management Policy agreed by Board	Q3 2023	
		§ Sectoral risk assessments to identify where further information needed	Sanctions-Risk-Assessment-2022 Sectoral-Risk-Assessment-2023-FINAL.pdf	Sectoral Risk Assessments published		
		§ Description of evidence used to inform regulatory activity		Rule changes policy agreed by Board	Q3 2023	
		§ Feedback on regulatory processes from those under review		Enforcement Survey (but limited responses so no anonymity). Work Based Learning survey. CILEX Leavers survey.		Ongoing
		§ Outcomes of regulator's collaborative work to understand consumers' needs	Price and service transparency - CILEX Regulation Consumers and Quality Indicators - Pilot Research Report			
		§ Learning from and using other bodies' experience and evidence to inform regulatory activity		Participate in MTCOG, MTCOG PLE, Legal Choices, Regulators Forum, Regulators EDI Forum, Regulators Research forum, LSAG		Ongoing
		§ Regulatory community engagement survey		Enforcement Survey. WBL Survey. Entity Survey		Ongoing
		§ Feedback surveys and outcomes	Surveys - CILEX Regulation	Refresh consumer survey.	Q3 2023	

		<p>§ Full consultation responses and decision documents</p> <p>§ Use of new and different channels to engage with stakeholders and publicise consultations</p> <p>§ Publication of annual reports, accounts and reporting of data</p> <p>§ Examples of engagement with stakeholders</p> <p>§ Strategy/Vision</p> <p>§ Business Plan</p> <p>§ Processes to ensure use of plain English</p> <p>§ Strategy for engaging consumers, including vulnerable consumers</p> <p>§ Examples of how stakeholders, including consumers, have informed decisions</p>	<p>Closed consultations - CILEx Regulation</p> <p>10.03-Appendix-Consultation-Comms-Plan-Board-Paper-July-23.pdf (cilexregulation.org.uk)</p> <p>Annual reports - CILEx Regulation</p> <p>News - CILEx Regulation</p> <p>Newsletter archive - CILEx Regulation</p> <p>Regulation Matters</p> <p>Closed consultations - CILEx Regulation</p> <p>Consultation Responses Archive - CILEx Regulation</p> <p>Strategic Objectives 2022-24 - CILEx Regulation</p> <p>Strategy-Implementation-plan-2023.pdf (cilexregulation.org.uk)</p> <p>Future-of-Regulation-Consultation-Summary-of-Responses-FINAL-002.pdf (cilexregulation.org.uk)</p> <p>CRL Enforcement Application (Remote Hearings) (legalservicesboard.org.uk)</p>	<p>Especially Specialist Regulation for the Future of an Independent Profession</p> <p>Board updated with progress at May 2023 Board meeting</p> <p>see Characteristic 5 above</p> <p>Incorporate into Comms Strategy Review for Board approval</p> <p>Taken into consideration fairness for users of remote hearings</p>			
10	Engages proactively and meaningfully with a diverse range of interested stakeholders, including the public, consumers and regulated community to inform decisions.	<p>§ Strategy for engaging consumers, including vulnerable consumers</p> <p>§ Strategy for engaging regulated community</p> <p>§ Research into public concerns</p> <p>§ Research into levels of public confidence in the regulator</p> <p>§ Regulator engagement with stakeholders</p> <p>§ Consideration and evaluation of Board engagement with the regulated community and others</p> <p>§ Horizon scanning</p> <p>§ Feedback from stakeholders</p>	<p>Referenced within Board Reports - CEO, DoG and DoO particularly.</p>	<p>Incorporate into Comms Strategy Review for Board approval. Engaging with work on complaints by Asylum seekers with other regulators.</p> <p>Part of all potential rule changes</p> <p>Commission stakeholder and regulated community perceptions survey</p> <p>Participate in MTCOG, MTCOG PLE, Legal Choices, Regulators Forum, Regulators EDI Forum, Regulators Research forum, LSAG, AMLSF, AML Regulators Forum, HM Land Registry, Land Registry Advisory Council, Govt Departments, private companies interesting in how regulation impacts on services to legal community.</p> <p>Commission stakeholder and regulated community perceptions survey</p> <p>3 year Strategy cycle</p> <p>Feeds into rule changes and future strategy as part of discussions that we hold.</p>	Q3 2023		
11	Understands the range of formal (eg rules) and informal (eg influence) regulatory levers at its disposal and how to best make use of them; implements appropriate regulatory interventions and evaluates their impact, changing the approach where necessary to improve outcomes.	<p>§ Documented use of both formal and informal levers and evaluation of their respective impacts</p> <p>§ Issues and risks addressed (eg complaints on particular topics)</p> <p>§ Examples where stakeholders have influenced thinking</p> <p>§ Systematic approach to reviewing regulatory interventions including periodic reviews</p> <p>§ Responses to issues raised in between periodic reviews</p>	<p>What is CPD and Who does the scheme apply to - CILEx Regulation</p> <p>Director-of-Operations-Report-Nov-2022.pdf (cilexregulation.org.uk)</p> <p>CILEX Regulation ACCA-Probate Regulation - for practitioners and firms CILEX-ACCA Probate Entities - Price and Service Transparency Regulations</p> <p>Financial sanctions - CILEx Regulation</p> <p>LSB Application for amendments to qualify employment and time served requirements for admission as a chartered legal (legalservicesboard.org.uk)</p>	<p>Significant improvement in CPD non-compliance. The links provide straightforward guidance and resources. CILEX supporting through own comms and resources. CRL corrects errors by members where CPD has been completed.</p> <p>Para 19-23</p> <p>Targeted guidance at ACCA firms. Supported by Consumer Officer support. Provided templated examples where needed. Given deadlines and seen firms exit where do not want to comply</p> <p>Survey of firms carried out. Guidance reinforced and direct email notifications of changes to sanctions regime</p> <p>Change to QE driven by possible discriminatory behaviour / withdrawal from escrow approach.</p> <p>Schedule of rule changes maintained with timescales for review of impact.</p> <p>Submitted ED181 to rectify identified QE text errors.</p> <p>Submitting ED181 for change to Immigration Handbook</p>	Q2 2024	Q2 2024	
12	Obtains and makes effective use of data, including by making it available to others, to inform how it meets the regulatory objectives.	<p>§ Data underpinning research results is published</p> <p>§ Tracker and stakeholder perception surveys</p> <p>§ Examples of data collected from the regulatory community</p> <p>§ Performance against KPIs</p>	<p>Diversity-Report-2021.pdf (cilexregulation.org.uk)</p> <p>Appendix-5-Performance-data-for-BSC-FOR-PUBLICATION.pdf (cilexregulation.org.uk)</p> <p>07.5-Board-KPI-Data-Q4-2017-Q4-2022.pdf (cilexregulation.org.uk)</p>	<p>Publish data for EDI Survey 2023</p> <p>Commission stakeholder and regulated community perceptions survey</p>	Q3 2023	Q2 2024	
13	Actively encourages innovation and innovators in the interests of improving access to services; identifies and mitigates risks appropriately without allowing them to become obstacles.	<p>§ Regulator has own innovation policy</p> <p>§ Regulator demonstrates in-house innovation and technology capability or shows it has access to such capability</p> <p>§ Horizon scanning</p> <p>§ Engagement with stakeholders, including innovators, about benefits and risks of innovation</p> <p>§ Changes to regulatory activities as a result of engagement</p> <p>§ Use of waivers and exemptions to facilitate innovation</p>	<p>Strategic Objectives 2022-24 - CILEx Regulation</p> <p>Waiver Policy</p> <p>Legal-Technology-Review-paper-for-Board-10-May-2023-FOR-PUBLICATION.pdf (cilexregulation.org.uk)</p> <p>CRL Waiver Policy</p>	<p>Under High Standards, CRL has committed to 'Embed a culture of innovation at CRL to develop and enhance a new approaches to service in legal services regulation. Enable the use of technology to improve legal services delivery and to improve the way we deal with internal processes'</p> <p>CRL has an innovation strategic objective</p> <ul style="list-style-type: none"> • Led by DoG • Research and Performance Analyst in post • Legal Tech post (combined with practitioner and entity policy) currently vacant • Membership of LawTechUK Regulatory Response Unit (RRU) <p>Through engagement with LawTechUK and regular scanning activities of legal and general press</p> <ul style="list-style-type: none"> • Engagement through LawTechUK (pending re-launch on 18 May 2023) • Member of Land Registry Advisory Council • Attendee at DCMS Digital Identity working groups <p>To date no changes have been made</p> <p>No requests to date</p>			
14	Committed to improving the diversity of, and reducing inequalities in, the profession at all levels and implements actions to reduce barriers to equality and inclusion.	<p>§ Regulator has own professional diversity and inclusion policy that takes account of current best practice</p> <p>§ Regulator focuses on the protected characteristics in the Equality Act 2010 and socio- economic diversity</p>	<p>EDI-Strategy-2022-Final.pdf (cilexregulation.org.uk)</p> <p>https://cilexregulation.org.uk/wp-content/uploads/2023/04/Enforcement-Annual-Report-2022-EDI-FINAL-180723.pdf</p>	<p>Covered in the CRL strategy, the EDI strategy and the Implementation Plan</p> <p>Review our procedures to ensure that people with certain protected characteristics are not unfairly impacted more than others eg Qualifying Experience; online hearings; the ongoing evidence building about the enforcement function.</p>			

	§ Regulator takes action to address the barriers to equality, diversity and inclusion that it has uncovered	CRL Enforcement Application (Remote Hearings) (legalservicesboard.org.uk)	Committed to review once adequate data available. The example of fairness of remote hearings shows how we considered possible disability concerns			
	§ Diversity data collection, awareness and understanding of diversity initiatives and work being undertaken by others	Diversity-Report-2021.pdf (cilexregulation.org.uk)	On the Combined Statistics Working Group (CSWG), a sub-group of the Judicial Diversity Forum (JDF) to facilitate the collection of consistent diversity characteristics data across pipeline professions for the judiciary. This feeds into the JDF work to diversify the judiciary. Regulators' EDI Forum where current best practice and issues are shared. We use publications and research from LSB, other regulators, and Bridge group. Part of a 12 organisation research consortium looking at barriers to progression across a wide range of professions. Have driven 99% collection rate for Diversity data in CILEX members. Comms campaign to increase data collected/reduce PNS. Regulators' EDI forum maintains a record of each regulators' diversity questions facilitates best practice/consistency of data collected. Forum/CSWG work led to CRL/CILEX collaboration updating CRM EDI questions/data collected in the CRM.			
		https://www.legalservicesconsumerpanel.org.uk/wp-content/uploads/2021/03/lscp-bame-2020_52191060-1.png;	CRL has a client survey https://cilexregulation.org.uk/surveys/ - aim to capture information about the experience and EDI stats collected. Not very successful as very few participants.			
		https://www.legalservicesconsumerpanel.org.uk/wp-content/uploads/2021/01/2021-01-13_BAME-user-experiences_FINAL.pdf;				
		https://www.legalservicesconsumerpanel.org.uk/wp-content/uploads/2022/10/22_10.11-Understanding-ethnic-minority-experiences-report.pdf;				
		https://legalservicesboard.org.uk/wp-content/uploads/2023/05/The-lived-experiences-of-legal-professionals.pdf;				
		https://legalservicesboard.org.uk/?s=diversity+dashboard.				
		https://legalservicesboard.org.uk/news/largest-ever-legal-needs-survey-in-england-and-wales;				
		https://www.gov.uk/government/statistics/diversity-of-the-judiciary-2023-statistics.				
		https://cilexjournal.org.uk/journal/cilex-journal-autumn-2021/features/state-of-the-nation				
		https://www.cityoflondon.gov.uk/assets/Business/breaking-the-class-barrier-december-2022.pdf.				
		http://legallydisabled.com/wp-content/uploads/2020/01/Legally-Disabled-full-report-FINAL.pdf.				
		https://www.sra.org.uk/sra/research-publications/over-rep-black-asian-minority-ethnic-solicitors-reports/.				
	§ Use of diversity data and analysis to evaluate effectiveness of actions and inform policy development	Annual reports - CILEx Regulation	Annual Reports include EDI reporting			Ongoing
	§ Collaboration with others to share data, insights from own initiatives and examples of good practice.		EDI Consortium Report	Q3 2023		
	§ Regulator leads changes by setting aspirational goals for the profession and recommending examples of effective initiatives to achieve them	CRL-PROPOSAL-TO-CILEX-FINAL.pdf (cilexregulation.org.uk)	Potential outcome of EDI Consortium Report. Covered within the case for change response	Q3 2023		
	§ Regulator promotes the value of training for legal professionals on equality, diversity and inclusion		Potential outcome of EDI Consortium Report	Q3 2023		
	§ Regulator highlights the importance of inclusive recruitment and working practices in the profession	https://www.regulationmatters.uk/features/your-membership-renewal-make-sure-youre-prepared-copy/				
	§ Regulator has effective processes in place to deal with professional misconduct, such as bullying and harassment		Maintain internal guidance on Conduct in private & professional life - Journal article + Spring 21/23 Panel training slides			
	§ Use of equality impact assessments	https://legalservicesboard.org.uk/wp-content/uploads/2022/11/PCF-application-2023-Final-for-LSB-submission-031122.pdf Annex 4 - Equality impact assessment (legalservicesboard.org.uk)	Page 35 onwards.			
15	Committed to improving, and reducing inequalities in, access to services for the public and consumers in all their diversity.	§ Regulator has own diversity and access to justice policies Equality & Diversity (sharepoint.com)	CRL internal policy.			
	§ Regulator's policies take account of current best practice	Strategic Objectives 2022-24 - CILEx Regulation	Covered in main strategy, the EDI strategy and the Implementation Plan The CILEX policies that we follow (see link at 131) are referenced in the online EDI staff training. The CILEX website links to government advice on best practice. We are on the Combined Statistics Working Group (CSWG), a sub-group of the Judicial Diversity Forum (JDF) to facilitate the collection of consistent diversity characteristics data across pipeline professions for the judiciary. This feeds into the JDF work to diversify the judiciary which serves the diverse public. We participate in the Regulators' EDI Forum where current best practice and issues are shared, which feeds into our policy work. We keep our policy work approach current with reading and publications and research published by a range of organisations including LSB, other regulators, and Bridge group. EDI Consortium - looking at barriers to progression across a wide range of professions, which provide services to a range of diverse consumers. the research and experience and knowledge of the organisations feed into CRL's policy work.			

	§ Actions taken by regulator to address diversity issues it has uncovered		PLE immigration work -a specific diverse section of consumers to attain better outcomes (raising awareness of good legal representation/ complaints). Work to break down barriers for firms eg panels etc, and higher rights to enable a more diverse range of legal professionals to represent more diverse consumers.			
	§ Diversity data collection, awareness and understanding of diversity initiatives and work being undertaken by others	https://cilexregulation.org.uk/wp-content/uploads/2023/04/Enforcement-Annual-Report-2022-EDI-FINAL-180723.pdf	Improvement in Diversity data in CILEX community driven by CRL. Collection method to increase responses. Comms campaign to increase data collected/reduce PNS. Regulators' EDI forum maintains a record of each regulators' diversity questions facilitates best practice/consistency of data collected. Forum/CSWG work led to CRL/CILEX collaboration updating CRM EDI questions/data collected in the CRM. Take account of research and publications from LSCP, LSB, JDF, CILEX, City of London Task Force, GOV.UK, SRA & CRL. We are exploring collaborative research into digital exclusion with BSB and ICAEW.			
		https://www.legalservicesconsumerpanel.org.uk/wp-content/uploads/2021/03/lscp-bame-2020_52191060-1.png				
		https://www.legalservicesconsumerpanel.org.uk/wp-content/uploads/2021/01/2021-01-13_BAME-user-experiences_FINAL.pdf				
		https://www.legalservicesconsumerpanel.org.uk/wp-content/uploads/2022/10/22.10.11-Understanding-ethnic-minority-experiences-report.pdf				
		https://legalservicesboard.org.uk/wp-content/uploads/2023/05/The-lived-experiences-of-legal-professionals.pdf				
		https://legalservicesboard.org.uk/news/largest-ever-legal-needs-survey-in-england-and-wales				
		https://legalservicesboard.org.uk/?s=diversity+dashboard				
		https://www.gov.uk/government/statistics/diversity-of-the-judiciary-2023-statistics				
		https://cilexjournal.org.uk/journal/cilex-journal-autumn-2021/features/state-of-the-nation				
		https://www.cilex.org.uk/membership/member_insights_survey/				
		https://www.cityoflondon.gov.uk/assets/Business/breaking-the-class-barrier-december-2022.pdf				
		https://www.gov.uk/government/organisations/home-office/about/equality-and-diversity				
		http://legallydisabled.com/wp-content/uploads/2020/01/Legally-Disabled-full-report-FINAL.pdf				
		https://cilexregulation.org.uk/surveys/	Client survey to capture information about the experience and EDI stats but very few participants.			Ongoing
	§ Use of equality impact assessments	Remote Hearings Application Para 52-59 QE Application				
	§ Use of diversity data and analysis	https://cilexregulation.org.uk/closed-consultations/	Collected with each consultation to understand if there will be a different impact on different groups of people. Eg. changed PCF fee for 2022 because EDI indicated more adverse affect on a group of members which would have potential impact on consumers.			Ongoing

Standard 3: Operational delivery

Regulators' operational activity (eg education and training, authorisation, supervision, enforcement) is effective and clearly focused on the public interest.

	Characteristics	Examples of Evidence	Relevant CRL publications	Action	Timing	
					Start	End
16	Ensures that authorised persons have and maintain the right skills, knowledge, behaviours and professional ethics to practise throughout their careers.	§ Published data on providers' pass rates § Information for students about choosing a training provider and financial protection	Pass Rates for Each Unit of Each CILEX Qualifications CPQ: How To Get Started with CILEX Professional Qualification			
		§ Published entry and ongoing practice requirements	New education standards for Chartered Legal Executives (cilexregulation.org.uk) Regulated individuals - CILEX Regulation https://cilexregulation.org.uk/i-am-an-applicant/			
		§ Quality assurance mechanisms to test rigour of entry and ongoing competence assessments	Referenced within DoO reports.	University of Law Assessment Board and Moderation, after each cohort to discuss results and individual borderline cases for practice rights.	Quarterly & Annual Report TBA 2024	Ongoing
				Altior/Barbri to discuss the advocacy courses and individual applicants who are seeking to attain advocacy or practice rights. Observation of courses are carried out by assessors twice a year.	6 monthly	Ongoing
				Bloomsbury Institute Annual Report which summarise annual course data and confirm changes and evaluation feedback for the previous year.	Oct-23	Annually
			https://cilexregulation.org.uk/wp-content/uploads/2023/07/CRL-External-Quality-Assurance-Report-2022.pdf	CILEX Apprenticeships end point assessment meetings with CILEX to discuss individual cases and any issues with an annual online visit by CRL resulting in an annual report	6 monthly meet & Annual review visit	Ongoing
				CPD sampling carried out on 2% of members who have up-to-date CPD	Annually	Ongoing
			https://cilexregulation.org.uk/wp-content/uploads/2023/07/CRL-ALC-Annual-Report-2022.pdf	Admissions and Licencing Committee discussions individual cases of applications and renewals	Quarterly	Ongoing
				Weekly PAS meetings to discuss individual cases of applications and renewals		Ongoing
				Practice Rights moderations with assessors for standardisation of assessment standards	Annually	Ongoing
				DBS, prior conduct & reference checks carried out on entry		Ongoing
				Assessor training for WBL and Practice Rights Assessors. Review of processes, case studies for standardisation purposes etc	Q1 2024	

				Annual review of applications/handbooks.	Q2 2024		
		§ Authorisation information requirements	CILEx-Authorisation-Rules.pdf (cilexregulation.org.uk)				
		§ Ongoing competence policy and monitoring plans	Practitioner-Authorisation-Rules.pdf (cilexregulation.org.uk) Outcomes Based CPD Scheme - CILEx Regulation				
		§ Information on ongoing competence checks undertaken and the outcome of those checks	10.01-Appendix-Ongoing-Competence-Action-Plan-Board-Paper-July-23.pdf (cilexregulation.org.uk) 10.0-Director-of-Operations-Report-Feb-2023-FOR-PUBLICATION.pdf (cilexregulation.org.uk)				
		§ Standards for the regulated community	Rules and Guidance governing CILEx Authorised Entities- CILEx Regulation Code-of-Conduct-2019 Practitioner-Authorisation-Rules.pdf (cilexregulation.org.uk) Conduct in Disputes guidance				
17	Maintains accessible and accurate registers of authorised persons, including information on disciplinary and enforcement action.	§ Consumer-facing guidance about who is regulated and what this means	Benefits of using our authorised lawyers - CILEx Regulation				
		§ Consumer-facing information on the content of the register and what it means to be on it	Find a Lawyer (Chartered Legal Executive / CILEx Practitioner) - CILEx Regulation				
		§ Information on how to access the register	Find a Lawyer (Chartered Legal Executive / CILEx Practitioner) - CILEx Regulation				
		§ Information on:					
		o How and when register is updated	CILEx Regulation > CRL Directory (cilexgroup.org.uk)	It is updated automatically whenever a change is made to an individual record.			
		o How and when its accuracy is checked		The public and members advise us of changes, but responsibility rests with members to update record. CRL checks authorisations remain current.			
		o What enforcement information is publicly available and what will not be disclosed	PUBLICATION POLICY (cilexregulation.org.uk)				
		o How the regulator is assured the register is used and checked by employers and other interested parties	CRL-PROPOSAL-TO-CILEX-FINAL.pdf (cilexregulation.org.uk)	Page 6 references the number of hits to the register compared to the SRA register. This shows we can monitor usage.			
18	Sets out clear, accessible criteria for taking decisions about the authorisation, supervision of authorised persons and enforcement proceedings against them to protect the public; adheres to the criteria when taking decisions.	§ Published authorisation, supervision and enforcement policies which transparently describe the regulator's approaches		Rules, Regulations and guidance can be found within the sections within the Resource Library - link below			
		Enforcement	CILEx Code of Conduct - CILEx Regulation Problems and Complaints - CILEx Regulation Problems-and-Complaints-infographic-FINAL-page-1.pdf (cilexregulation.org.uk) Enforcement - CILEx Regulation What type of Disclosure and Barring Service (DBS) check do I need - CILEx Regulation Conduct Panels (complaints against an individual) - CILEx Regulation	Resources Archive - CILEx Regulation			
		Individual Authorisations	Become a Chartered Legal Executive (Legacy route) - CILEx Regulation I am an applicant - CILEx Regulation New education standards for Chartered Legal Executives (cilexregulation.org.uk) Become a Chartered Legal Executive via apprenticeship - CILEx Regulation Become a Chartered Legal Executive Advocate - CILEx Regulation Become a CILEx Practitioner - CILEx Regulation New routes for Additional Practice Rights for Chartered Legal Executives New route to practice rights (ULaw) (cilexregulation.org.uk) What is CPD and Who does the scheme apply to - CILEx Regulation Recognition of lawyers qualified in the EEA or Switzerland (cilexregulation.org.uk)				
		Firm	CILEx Regulation ACCA-Probate Regulation - for practitioners and firms ACCA-Probate regulation - guidance for individuals and firms Help setting up a Law Firm (CILEx Authorised Entity) - CILEx Regulation Entity Authorisation Archive - CILEx Regulation Financial sanctions - CILEx Regulation Anti-Money Laundering Regulation and Guidance - CILEx Regulation Rules and Guidance governing CILEx Authorised Entities- CILEx Regulation				
19	Takes concerns raised by the public, the profession and other stakeholders seriously; pursues those concerns with appropriate rigour and pace under a transparent process.	§ Published policy for handling complaints/issues including updates for those involved, deadlines for responses and closure of case	Complaints Procedures and Guidance - CILEx Regulation				
		§ Process for managing complaints from LeO and/or other regulators		No specific process but reviewed by teams when each list received.			
		§ Evidence of how activity is focused on the public interest and the needs of vulnerable members of the public	Problems-and-Complaints-infographic-FINAL-page-1.pdf (cilexregulation.org.uk)				
		§ Published guidance for staff and decision makers	CRL Complaints Policy (003).docx (sharepoint.com)				
		§ Template letters used		A bank of letters for various misconduct scenarios and panels in place			Ongoing
		§ Complaints resulting in regulatory action where appropriate	Problems-and-Complaints-infographic-FINAL-page-1.pdf (cilexregulation.org.uk)				
		§ Process for review and risk assessment of cases during their lifetime		Three monthly review by Investigation manager.Cases discussed within weekly team meetings.			Ongoing
		§ Outcomes of checks on the process/reviews		Presentation to Sept 2023 Board	Q3 2023		

		§ Uses data gathered from complaints and issues raised to identify thematic issues and develop responses to them		Identified that timescales not communicated to public impacting on service delivery - reviewed pages and a single resource for applications being developed.	Q3 2023		
		§ Evidence of follow-up activity in relation to thematic issues		See above			
		§ Guidance issued to regulated community		Guidance on scope of litigation activities	Q3 2023		
20	Proactively seeks to maintain appropriate standards of conduct and responds to thematic issues arising from operational activity, including ensuring that those they regulate take action, where relevant.	§ Uses data gathered from operational activity to identify thematic issues and develops appropriate responses		Following Doble case, sought guidance on litigation, identified affected firms/individuals using CRM data and contacted them with reminder on reserved activity.			
		§ Evidence of follow-up activity in relation to thematic issues		Transparency Rules Evaluation	Q3 2023		
		§ Guidance issued to regulated community		Guidance on scope of litigation activities	Q3 2023		