

**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.*

**CRL Board Rating**

**Sufficient**

|   | Characteristics                                                                                                                                           | Examples of Evidence                                                                                                                                                                                                                                                                                                                                                                                                          | Relevant CRL publications                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
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| 1 | A clear sense of purpose and strategy focused on regulation in the public interest and ensuring public confidence in the regulator.                       | <ul style="list-style-type: none"> <li>§ Strategy/vision</li> <li>§ Values statement</li> <li>§ Business plan</li> <li>§ Board involvement in development and direction of strategy</li> <li>§ Board away day</li> <li>§ Comprehensive evidence base</li> </ul>                                                                                                                                                               | <ul style="list-style-type: none"> <li><a href="#">Strategic Objectives 2022-24 - CILEx Regulation</a></li> <li><a href="#">CILEx Regulation Values</a></li> <li><a href="#">Strategy-Implementation-plan-2023.pdf (cilexregulation.org.uk)</a></li> <li><a href="#">07.5-Board-KPI-Data-Q4-2017-Q4-2022.pdf (cilexregulation.org.uk)</a></li> </ul>                                                                                                                                                      |
| 2 | Board takes ownership of and accountability for the organisation's performance and for meeting the regulatory objectives; holds its executive to account. | <ul style="list-style-type: none"> <li>§ Governance manual/handbook</li> <li>§ Board and Committee attendance levels</li> <li>§ Number of Board and Committee meetings</li> <li>§ Board agendas and minutes – evidence of Board taking decisions</li> <li>§ Progress against planned activity</li> <li>§ Performance against KPIs</li> <li>§ Complaints about the regulator</li> <li>§ Board effectiveness reviews</li> </ul> | <ul style="list-style-type: none"> <li><a href="#">Governance</a></li> <li><a href="#">Board Member attendance 2022</a></li> <li><a href="#">Board Meetings</a></li> <li><a href="#">Board Meetings</a></li> <li><a href="#">07.5-Board-KPI-Data-Q4-2017-Q4-2022.pdf (cilexregulation.org.uk)</a></li> <li><a href="#">Complaints about us - CILEx Regulation</a></li> <li><a href="#">13.0-Annual-CRL-Complaints-Compliments-Report-23022023-FOR-PUBLICATION.pdf (cilexregulation.org.uk)</a></li> </ul> |

| Action                                   | Timing  |            |
|------------------------------------------|---------|------------|
|                                          | Start   | End        |
| Evidence published on CRL Website        |         |            |
| Review CRL Strategy                      | Q1 2024 | Q4 2024    |
| Agree Business Plan 2024                 | Q3 2023 | Q4 2023    |
| Board meetings                           |         |            |
| Agree Business Plan                      |         |            |
| Board away day                           |         |            |
| Agree CRL Strategy                       |         |            |
| Each year                                | Q2 2023 |            |
| Review each year                         | Q2 2023 |            |
| Publication attendance record prior year |         |            |
| CRL website regularly updated            |         | continuing |
| Standing item at Board meetings          |         | continuing |
| Standing item at Board meetings          |         |            |
| Annual report to Board                   | Q1 2023 |            |
| Annual review                            | Q2 2023 |            |

|   |                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
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|   |                                                                                                                                                                        | <p>§ Annual accounts and reporting of data to Board and publicly</p> <p>§ Board and Executive meet regularly to foster collaborative relationships</p>                                                                                                                                                        | <p><a href="#">Annual Reports</a></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| 3 | Independent of the regulated professions but understands and collaborates effectively with the profession and representative groups to meet the regulatory objectives. | <p>§ Compliance with IGRs</p> <p>§ Examples of collaborative work and attempts at collaboration</p> <p>§ Examples of innovative work</p>                                                                                                                                                                      | <p><a href="#">Firms authorised to provide legal services - CILEx Regulation</a></p>                                                                                                                                                                                                                                                                                                                                                                                                  |
| 4 | Understands the needs of consumers and the public interest and assesses the impact of its work in meeting their interests.                                             | <p>§ Research into public concerns</p> <p>§ Research into levels of public confidence in the regulator</p> <p>§ Assessment of impact of regulator's work in addressing concerns raised by and issues facing the public</p>                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| 5 | Delivers high levels of transparency, including ensuring decisions are clear and accessible to all those with an interest.                                             | <p>§ Publication policy</p> <p>§ Annual Report</p> <p>§ Annual accounts and reporting of data to Board and publicly</p> <p>§ Board papers and minutes</p> <p>§ Costs report</p> <p>§ KPIs and performance reports</p> <p>§ Complaints about the regulator</p> <p>§ Regulator engagement with stakeholders</p> | <p><a href="#">Governance Transparency Policy</a></p> <p><a href="#">Annual Report 2021</a></p> <p><a href="#">Financial Statements 2021</a></p> <p><a href="#">Board Meetings - CILEx Regulation</a></p> <p><a href="#">Costs Transparency Statement 2021</a></p> <p><a href="#">07.5-Board-KPI-Data-Q4-2017-Q4-2022.pdf (cilexregulation.org.uk)</a></p> <p><a href="#">13.0-Annual-CRL-Complaints-Compliments-Report-23022023-FOR-PUBLICATION.pdf (cilexregulation.org.uk)</a></p> |

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| Annual accounts approved by Board                                 | Q2 2023 |  |  |
| Board meetings<br>Teleconferences<br>Strategy days                |         |  |  |
| IGR processes engaged to resolve dispute with representative body |         |  |  |
| Collaboration: EDI, data collection, AML & Sanctions              |         |  |  |
| see also Characteristic 12                                        |         |  |  |
| Commission stakeholder and regulated community perceptions survey | Q2 2024 |  |  |

|  |                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                              |                |  |  |
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|  | <p>§ Process in place to ensure plain English approach to communications</p>              | <p><a href="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/Client-Care-Letters-Research-Report-FINAL-201016.pdf</a></p> <p><a href="https://cilexregulation.org.uk/wp-content/uploads/2020/05/CILEx-Regulation-Risk-Management-Key-Principles-for-Client-Care-Letters.pdf.pdf">https://cilexregulation.org.uk/wp-content/uploads/2020/05/CILEx-Regulation-Risk-Management-Key-Principles-for-Client-Care-Letters.pdf.pdf</a></p> |                                                                              |                |  |  |
|  | <p>§ Consumer engagement strategy including vulnerable consumers</p>                      | <p><a href="#">I am a member of the public - CILEx Regulation</a></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <p>Consumer page on CRL website refreshed &amp; explanatory video posted</p> |                |  |  |
|  | <p>§ Diversity report</p>                                                                 | <p><a href="#">Diversity-Report-2021.pdf (cilexregulation.org.uk)</a></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <p>2023 Diversity Report</p>                                                 | <p>Q3 2023</p> |  |  |
|  | <p>§ Clear terms of reference for the Board and associated committees (and for staff)</p> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | <p>Revised draft prepared for Board approval</p>                             |                |  |  |
|  | <p>§ Consideration of diversity of the Board (and of staff)</p>                           | <p><a href="#">CRL Diversity Data 2021 - CILEx Regulation</a></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                              |                |  |  |
|  | <p>§ Board review processes</p>                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | <p>Annual appraisal of Chair and Board members</p>                           |                |  |  |
|  | <p>§ Appointment processes and terms</p>                                                  | <p><a href="#">Board-Committee-and-Panel-Periods-of-Appointment-17-May-2022.pdf (cilexregulation.org.uk)</a></p>                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                              |                |  |  |
|  | <p>§ Code of conduct (for Board and staff)</p>                                            | <p><a href="#">Code-of-Conduct-for-Board-members-17-May-2022.pdf (cilexregulation.org.uk)</a></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                              |                |  |  |
|  | <p>§ Disciplinary processes</p>                                                           | <p><a href="#">Code-of-Conduct-for-Board-members-17-May-2022.pdf (cilexregulation.org.uk)</a></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                           | <p>currently no formal process</p>                                           |                |  |  |
|  | <p>§ Skills review processes</p>                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | <p>skills review incorporated into Board appraisals</p>                      |                |  |  |
|  | <p>§ Internal/External Audit</p>                                                          | <p><a href="#">CILEx-Regulation-Financial-Statements-2021.pdf (cilexregulation.org.uk)</a></p>                                                                                                                                                                                                                                                                                                                                                                                                                                                              | <p>External Audit of Financial Statements</p>                                |                |  |  |
|  | <p>§ Risk outlook<br/>         § Risk policy</p>                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |                                                                              |                |  |  |

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|   |                                                                                                                                                                   | § Risk assessment policy                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                  |
| 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                           |                                                                                                                                                                                                                                                                                                                                                                                                  |
|   |                                                                                                                                                                   | § Training available to staff and decision makers                                                          |                                                                                                                                                                                                                                                                                                                                                                                                  |
|   |                                                                                                                                                                   | § Cost of regulation information                                                                           | <a href="https://www.cilexregulation.org.uk/2021-Cost-Transparency-Statement.pdf">2021-Cost-Transparency-Statement.pdf (cilexregulation.org.uk)</a>                                                                                                                                                                                                                                              |
|   |                                                                                                                                                                   | § Practising Certificate Fee                                                                               | <a href="https://www.legalservicesboard.org.uk/CILEX/CRL-PCF-Application-2023">CILEX/CRL PCF Application 2023 (legalservicesboard.org.uk)</a><br><a href="https://www.legalservicesboard.org.uk/wp-content/uploads/2022/12/20221220-CILEX-CRL-PCF-Decision-Notice-2023.pdf">https://www.legalservicesboard.org.uk/wp-content/uploads/2022/12/20221220-CILEX-CRL-PCF-Decision-Notice-2023.pdf</a> |
|   |                                                                                                                                                                   | § HR monitoring of staff turnover rates                                                                    | <a href="https://www.cilexregulation.org.uk/07.5-Board-KPI-Data-Q4-2017-Q4-2022.pdf">07.5-Board-KPI-Data-Q4-2017-Q4-2022.pdf (cilexregulation.org.uk)</a>                                                                                                                                                                                                                                        |
|   |                                                                                                                                                                   | § Contingency planning (to deal with resource pressures)                                                   |                                                                                                                                                                                                                                                                                                                                                                                                  |
| 7 | Understands the legislative and policy framework within which it operates; works constructively and in collaboration with the LSB, other relevant authorities and | § Consideration and evaluation of Board engagement with the regulated community and others (eg OPBAS, CMA) |                                                                                                                                                                                                                                                                                                                                                                                                  |
|   |                                                                                                                                                                   | § Horizon scanning<br>§ Feedback from stakeholders                                                         |                                                                                                                                                                                                                                                                                                                                                                                                  |

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| included in Balanced Scorecard                                                                                                                                                                                                                                |  |  |  |
| All staff are required to completed mandatory training . Other training is made available as appropriate. Two members of staff currently sponsored through professional training.<br>Face to face training sessions for panellists and Tribunal members 2X pa |  |  |  |
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| appropriate resourcing in place for CRL to carry out its regulatory functions effectively and efficiently                                                                                                                                                     |  |  |  |

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|   | relevant stakeholders.                                              | § Information about the market that is available                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |
| 8 | Has fit for purpose governance systems that align to best practice. | <p>§ Governance manual/handbook</p> <p>§ Clear terms of reference for the Board and associated committees (and for staff)</p> <p>§ Consideration of diversity of the Board (and of staff)</p> <p>§ Board review processes</p> <p>§ Appointment processes and terms</p> <p>§ Code of conduct (for Board and staff)</p> <p style="background-color: yellow;">§ Disciplinary processes</p> <p>§ Skills review processes</p> <p>§ Internal/External Audit</p> <p style="background-color: yellow;">§ Risk outlook</p> <p style="background-color: yellow;">§ Risk policy</p> <p style="background-color: orange;">§ Risk assessment policy</p> | <p><a href="#">CILEx Regulation Board - CILEx Regulation Matters-reserved-to-the-Board-17-May-2022.pdf</a> (<a href="http://cilexregulation.org.uk">cilexregulation.org.uk</a>)</p> <p><a href="#">Standing-Orders-17-May-2022.pdf</a> (<a href="http://cilexregulation.org.uk">cilexregulation.org.uk</a>)</p> <p><a href="#">CRL Diversity Data 2021 - CILEx Regulation</a></p> <p><a href="#">Chair-and-Board-Member-Appraisal-Arrangements-17-May-22.pdf</a> (<a href="http://cilexregulation.org.uk">cilexregulation.org.uk</a>)</p> <p><a href="#">Board-Committee-and-Panel-Periods-of-Appointment-17-May-2022.pdf</a> (<a href="http://cilexregulation.org.uk">cilexregulation.org.uk</a>)</p> <p><a href="#">Code-of-Conduct-for-Board-members-17-May-2022.pdf</a> (<a href="http://cilexregulation.org.uk">cilexregulation.org.uk</a>)</p> <p><a href="#">CILEx-Regulation-Financial-Statements-2021.pdf</a> (<a href="http://cilexregulation.org.uk">cilexregulation.org.uk</a>)</p> |

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| <p>Terms of Reference are in force for the Professional Conduct Panel, the Disciplinary Tribunal, the Appeals Panel and the Strategic Risk Committee<br/>All members of staff have Job Descriptions which set out their roles and responsibilities</p> <p>skills review incorporated into Board appraisals</p> <p>Risk Management Policy agreed by Board</p> |  |  |  |  |  |
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**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 |
|        |        |     |

|   |                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                                                   |
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| 9 | <p>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.</p> | <p>§ Investment in research and research plan</p> <p>§ Published programmes of activity</p> <p>§ Strategic and business plans</p> <p>§ Risk management policy which explains approach to identifying current and future policy developments and their impact including risks</p> <p>§ Risk outlook and explanation as to how this has informed regulatory activity</p> <p>§ Sectoral risk assessments to identify where further information needed</p> <p>§ Description of evidence used to inform regulatory activity</p> <p>§ Feedback on regulatory processes from those under review</p> <p>§ Outcomes of regulator's collaborative work to understand consumers' needs</p> <p>§ Learning from and using other bodies' experience and evidence to inform regulatory activity</p> <p>§ Regulatory community engagement survey</p> | <p><a href="#">Strategic Objectives 2022-24 - CILEx Regulation Strategy-Implementation-plan-2023.pdf (cilexregulation.org.uk)</a></p> <p><a href="#">Sanctions-Risk-Assessment-2022-November-2022.pdf (cilexregulation.org.uk)</a></p> <p><a href="#">Price and service transparency - CILEx Regulation</a></p> <p><a href="#">Improving comparison information for consumers - take part in our pilot - CILEx Regulation</a></p> |
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| <p>currently liaising with other legal regulators to determine the scope for working together on research projects.</p> <p>Sectoral Risk Assessments published</p> <p>Rule changes policy agreed by Board</p> |  | Q3 2023 |  |  |  |
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|    |                                                                                                                                                                                                                                                                                   | <p>§ Consideration and evaluation of Board engagement with the regulated community and others</p> <p>§ Horizon scanning</p> <p>§ Feedback from stakeholders</p>                                                                                                                                                                                                                                            |                                                                                         |                                                                                                                                                                                                                                                                                                                                  |         |  |
| 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> |                                                                                         |                                                                                                                                                                                                                                                                                                                                  |         |  |
| 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><a href="#">07.5-Board-KPI-Data-Q4-2017-Q4-2022.pdf (cilexregulation.org.uk)</a></p> | Commission stakeholder and regulated community perceptions survey                                                                                                                                                                                                                                                                | 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><a href="#">Waiver Policy</a></p>                                                    | <p>CRL has an innovation strategic objective</p> <ul style="list-style-type: none"> <li>• Led by DoG</li> <li>• Research and Performance Analyst in post</li> <li>• Legal Tech post (combined with practitioner and entity policy) currently vacant</li> <li>• Membership of LawTechUK Regulatory Response Unit (RRU)</li> </ul> |         |  |



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|           |                                                                                                                                                                                 | <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><a href="#">CRL Waiver Policy</a></p>                                    |  | <p>Through engagement with LawTechUK and regular scanning activities of legal and general press</p> <ul style="list-style-type: none"> <li>• Engagement through LawTechUK (pending re-launch on 18 May 2023)</li> <li>• Member of Land Registry Advisory Council</li> <li>• Attendee at DCMS Digital Identity working groups</li> </ul> <p>To date no changes have been made</p> |  |  |  |
| <p>14</p> | <p>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> | <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>§ Regulator takes action to address the barriers to equality, diversity and inclusion that it has uncovered</p> <p>§ Diversity data collection, awareness and understanding of diversity initiatives and work being undertaken by others</p> <p>§ Use of diversity data and analysis to evaluate effectiveness of actions and inform policy development</p> <p>§ Collaboration with others to share data, insights from own initiatives and examples of good practice.</p> | <p><a href="#">EDI-Strategy-2022-Final.pdf (cilexregulation.org.uk)</a></p> |  |                                                                                                                                                                                                                                                                                                                                                                                  |  |  |  |

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|    |                                                                                                                               | <p>§ Regulator leads changes by setting aspirational goals for the profession and recommending examples of effective initiatives to achieve them</p> <p>§ Regulator promotes the value of training for legal professionals on equality, diversity and inclusion</p> <p>§ Regulator highlights the importance of inclusive recruitment and working practices in the profession</p> <p>§ Regulator has effective processes in place to deal with professional misconduct, such as bullying and harassment</p> <p>§ Use of equality impact assessments</p> |  |
| 15 | Committed to improving, and reducing inequalities in, access to services for the public and consumers in all their diversity. | <p>§ Regulator has own diversity and access to justice policies</p> <p>§ Regulator’s policies take account of current best practice</p>                                                                                                                                                                                                                                                                                                                                                                                                                 |  |
|    |                                                                                                                               | <p>§ Actions taken by regulator to address diversity issues it has uncovered</p> <p>§ Diversity data collection, awareness and understanding of diversity initiatives and work being undertaken by others</p> <p>§ Use of equality impact assessments</p> <p>§ Use of diversity data and analysis</p>                                                                                                                                                                                                                                                   |  |

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**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                                             |
|----|-------------------------------------------------------|-------------------------------------------|-----------------------------------------------------------------------|
| 16 | Ensures that authorised persons have and maintain the | § Published data on providers’ pass rates | <a href="#">Pass Rates for Each Unit of Each CILEX Qualifications</a> |

| Action | Timing |     |
|--------|--------|-----|
|        | Start  | End |
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|           | <p>right skills, knowledge, behaviours and professional ethics to practise throughout their careers.</p>                                | <p>§ Information for students about choosing a training provider and financial protection</p> <p>§ Published entry and ongoing practice requirements</p> <p>§ Quality assurance mechanisms to test rigour of entry and ongoing competence assessments</p> <p>§ Authorisation information requirements</p> <p>§ Ongoing competence policy and monitoring plans</p> <p>§ Information on ongoing competence checks undertaken and the outcome of those checks</p> <p>§ Standards for the regulated community</p> | <p><a href="#">CPQ: How To Get Started with CILEX Professional Qualification</a></p> <p><a href="#">New education standards for Chartered Legal Executives (cilexregulation.org.uk)</a></p> <p><a href="#">CILEx-Authorisation-Rules.pdf (cilexregulation.org.uk)</a></p> <p><a href="#">Outcomes Based CPD Scheme - CILEx Regulation</a></p> <p><a href="#">Rules and Guidance governing CILEx Authorised Entities- CILEx Regulation</a></p>          |  | <p>On going competence action plan</p> |  |  |  |
| <p>17</p> | <p>Maintains accessible and accurate registers of authorised persons, including information on disciplinary and enforcement action.</p> | <p>§ Consumer-facing guidance about who is regulated and what this means</p> <p>§ Consumer-facing information on the content of the register and what it means to be on it</p> <p>§ Information on how to access the register</p> <p>§ Information on:</p> <ul style="list-style-type: none"> <li>o How and when register is updated</li> <li>o How and when its accuracy is</li> <li>o what enforcement information is publicly available and what will not be disclosed</li> <li>o How the</li> </ul>       | <p><a href="#">Benefits of using our authorised lawyers - CILEx Regulation</a></p> <p><a href="#">Find a Lawyer (Chartered Legal Executive / CILEx Practitioner) - CILEx Regulation</a></p> <p><a href="#">Find a Lawyer (Chartered Legal Executive / CILEx Practitioner) - CILEx Regulation</a></p> <p><a href="#">CILEx Regulation &gt; CRL Directory (cilexgroup.org.uk)</a></p> <p><a href="#">PUBLICATION POLICY (cilexregulation.org.uk)</a></p> |  |                                        |  |  |  |

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|    |                                                                                                                                                                                                                                    | regulator is assured the register is used and checked by employers and other interested                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                 |
| 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. | <p>§ Published authorisation, supervision and enforcement policies which transparently describe the regulator’s approaches</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | <p><a href="#">Conduct Panels (complaints against an individual) - CILEx Regulation</a></p>                                                                                                                                                                                                                                                                     |
| 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.                                                         | <p>§ Published policy for handling complaints/issues including updates for those involved, deadlines for responses and closure of case</p> <p>§ Process for managing complaints from LeO and/or other regulators</p> <p>§ Evidence of how activity is focused on the public interest and the needs of vulnerable members of the public</p> <p>§ Published guidance for staff and decision makers</p> <p>§ Template letters used</p> <p>§ Complaints resulting in regulatory action where appropriate</p> <p>§ Process for review and risk assessment of cases during their lifetime</p> <p>§ Outcomes of checks on the process/reviews</p> | <p><a href="#">Complaints Procedures and Guidance - CILEx Regulation</a></p> <p><a href="#">Problems-and-Complaints-infographic-FINAL-page-1.pdf (cilexregulation.org.uk)</a></p> <p><a href="#">CRL Complaints Policy (003).docx (sharepoint.com)</a></p> <p><a href="#">Problems-and-Complaints-infographic-FINAL-page-1.pdf (cilexregulation.org.uk)</a></p> |
|    |                                                                                                                                                                                                                                    | <p>§ Uses data gathered from complaints and issues raised to identify thematic issues and develop responses to them</p> <p>§ Evidence of follow-up activity in relation to thematic issues</p> <p>§ Guidance issued to regulated community</p>                                                                                                                                                                                                                                                                                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                 |

No specific process

|    |                                                                                                                                                                                                            |                                                                                                                                                                                                                              |  |
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| 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<br>§ Evidence of follow-up activity in relation to thematic issues<br>§ Guidance issued to regulated community |  |
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