

## CILEx Regulation Business Plan 2017

The quarterly performance summary shows:

- high level progress on key planned business activities to deliver the five strategic priorities in CILEx Regulation's Strategy 2017-20;
- RAG (Red/Amber/Green) ratings for the last quarter with comparison to previous quarter; and
- next quarter milestones.

Where business activities are managed through associated delivery plans updates to these are shared in the Board member secure online area. Delivery plans and plan owners/sponsors currently in place are as follows:

CRM Project Plan: Gous Uddin, Programme Project Manager ([gous.uddin@cilexregulation.org.uk](mailto:gous.uddin@cilexregulation.org.uk))

Diversity Action Plan: Jill Durham, Director of Policy and Enforcement ([jill.durham@cilexregulation.org.uk](mailto:jill.durham@cilexregulation.org.uk))

Phoenix Project Plan (in development): Victoria Purtill, Director of Authorisation and Supervision ([victoria.purtill@cilexregulation.org.uk](mailto:victoria.purtill@cilexregulation.org.uk))

Entity/ABS Delivery Plan: Victoria Purtill, Director of Authorisation and Supervision

Practice Rights and Entity Marketing Plan (requested): Vicki Hurdley, CILEx Director of Development ([victoria.hurdley@cilex.org.uk](mailto:victoria.hurdley@cilex.org.uk))

Competition and Markets Authority Legal Services Market Study Action Plan: Jill Durham, Director of Policy and Enforcement

**Contact for questions: Clare Harper Smith**, Research and Performance Analyst  
([Clare.harper@cilexregulation.org.uk](mailto:Clare.harper@cilexregulation.org.uk))

### Key:

Red: Project not progressed or on hold

Amber: Project partly progressed, milestones partly met

Green: Project progressing as planned with milestones achieved

### Abbreviations:

ALC: Admissions and Licensing Committee

CRM: Customer Relationship Management (system)

SMT: Senior Management Team

SRC: Strategic Risk Committee

QE: Qualifying Employment

WBL: Work-based learning

Strategic Priority	Q1 2017 (Jan to Mar)	Priority project	Q2 2017 (Apr to Jun)	Progress	Q3 Milestones 2017 (July to September)	Q4 and 2018
Ensure the needs of the consumer inform all our work	A	Consumer needs mapping	G	<ul style="list-style-type: none"> <li>Options scoped for improved mapping of analysis of legal services market and consumer needs to regulatory arrangements development programme</li> <li>Improved impact assessment methodology in development</li> <li>Education standards review identified as pilot work stream for trialling new impact assessment</li> </ul>	<ul style="list-style-type: none"> <li>Implementation of structured approach to use our analysis of consumer developments in relation to regulatory arrangements development</li> <li>Procedures in place for improved mapping of consumer need and expectation across business function</li> <li>More meaningful and better documented impact analysis and review</li> </ul>	Embedded function
	A	Vulnerable Consumer Strategy	A	<ul style="list-style-type: none"> <li>Staff and Board LSCP training on consumer vulnerability completed</li> <li>Identification of need for strategy in relation to vulnerable consumers as part of our wider Consumer Strategy</li> </ul>	<ul style="list-style-type: none"> <li>Scoping exercise completed</li> <li>Vulnerable Consumer Strategy developed and documented</li> </ul>	Embedded
Minimise barriers to entry for practitioners (cost and bureaucracy)	A	Risk based supervision of individuals	A	<ul style="list-style-type: none"> <li>Scoping and identification of development needs for risk matrix for individuals</li> <li>Need for development of targeted proactive supervision tools, supplementing CPD and Enforcement</li> </ul>	<ul style="list-style-type: none"> <li>Research and develop risk matrix for individuals</li> <li>Align risk matrix with Vulnerable Consumer Strategy</li> <li>Gain advice and guidance from SRC</li> </ul>	Q4 proposals developed. 2018 matrix agreed by SRC and implementation
	A	QE/WBL assessment online	G	<ul style="list-style-type: none"> <li>Identification of available functionality, supplier options and potential costs</li> <li>Engagement with Group IT services on specification and compatibility with IT infrastructure</li> </ul>	<ul style="list-style-type: none"> <li>Scoping of authorisation processes</li> <li>Identification of options</li> </ul>	Q4 selection of preferred supplier

Strategic Priority	Q1 2017 (Jan to Mar)	Priority project	Q2 2017 (Apr to Jun)	Progress	Q3 Milestones 2017 (July to September)	Q4 and 2018
	A	Post transition CPD	G	<ul style="list-style-type: none"> <li>Scoping of need for re-development of fixed duration regulatory arrangements which supported transition from points to outcomes-based approach</li> <li>Rule changes review and revision under way</li> </ul>	<ul style="list-style-type: none"> <li>Consumer impact assessment</li> <li>Lodge Rule change application with LSB for approval</li> </ul>	Q4 go live, comms and implementation
	A	Entity authorisation lead time reduction	G	<ul style="list-style-type: none"> <li>User feedback reviewed</li> <li>Lead time included in performance monitoring and reporting</li> <li>CILEx member support/mentoring function agreed and implemented</li> </ul>	<ul style="list-style-type: none"> <li>User journey mapping complete</li> </ul>	Q4 webpage structure changes identification in collaboration with CILEx
	A	Anti-competitive practices	A	<ul style="list-style-type: none"> <li>Engagement with Council for Mortgage Lenders and Building Societies Association on access to Lender Panels</li> <li>Conveyancing entity success in accessing selected Lender Panels</li> <li>Engagement with other entity regulators on run-off requirements</li> </ul>	<ul style="list-style-type: none"> <li>Review of opportunities for lobbying in relation to Lender Panel eligibility and run-off cover for those switching regulators</li> </ul>	Q4 development of lobbying plan
	A	New CRM (Group project to which we contribute)	G	<ul style="list-style-type: none"> <li>High level spec updated in Q2 across Group</li> <li>Dedicated Project Manager appointed</li> <li>Supplier high level demos evaluated</li> <li>Next stage requests for supplier proposals made</li> <li><b>CRM Project Plan</b> developed and shared across Group</li> </ul>	<ul style="list-style-type: none"> <li>Complete discovery with next stage suppliers</li> <li>Request for proposals</li> <li>Best and final offers</li> <li>Contract sign off</li> <li>Project delivery start</li> </ul>	CILEx Group target date for project completion Feb 2019
	A	Performance reporting framework	G	<ul style="list-style-type: none"> <li>Research and analysis capacity enhanced by recruitment to dedicated analyst role</li> <li>New performance reporting</li> </ul>	<ul style="list-style-type: none"> <li>Q2 performance reported to July Board</li> <li>Increased level of data available</li> </ul>	Embedded. Review after first year of operation

Strategic Priority	Q1 2017 (Jan to Mar)	Priority project	Q2 2017 (Apr to Jun)	Progress	Q3 Milestones 2017 (July to September)	Q4 and 2018
				<ul style="list-style-type: none"> <li>framework designed and introduced from 2017</li> <li>Monthly operational performance reporting to managers introduced</li> <li>Quarterly high level reporting to Board introduced</li> <li>Unit cost modelling for key processes commissioned from Group finance services</li> </ul>	<ul style="list-style-type: none"> <li>Trend analysis developing and reported</li> <li>New style business plan progress reporting added</li> </ul>	
	A	Review Non-exec Contractor Appraisal	G	<ul style="list-style-type: none"> <li>Review of current arrangements undertaken</li> <li>Options for adding value developed</li> <li>Informal consultation undertaken with panellists and Clerks</li> </ul>	<ul style="list-style-type: none"> <li>Dialogue and formal consultation with enforcement panellists</li> <li>Options reported to Board</li> </ul>	Extend to SRC members in 2018
	A	Revised LSB Diversity Guidance	G	<ul style="list-style-type: none"> <li>Revised Guidance requirements mapped against current practice</li> <li>Gap analysis completed</li> <li>Revised <b>Diversity Action Plan</b> developed and shared with LSB</li> </ul>	<ul style="list-style-type: none"> <li>Agree delivery timelines and milestones</li> <li>First LSB review</li> <li>Rationalise diversity data collection points</li> </ul>	
Grow opportunities for CILEx practitioners	A	Educational standards review (Phoenix)	G	<ul style="list-style-type: none"> <li>Engagement with CILEx under way on strategic planning to align development with review of membership and qualifications structures</li> <li>First Joint Education and Training (JET) working group scheduled for 30/6/17</li> <li>Outline proposals announced at Westminster Policy Forum 13/06/17</li> </ul>	<ul style="list-style-type: none"> <li>Scope research into future legal services market and consumer needs, to inform development of educational standards</li> <li>Introduce progress tracking by JET via <b>Phoenix Project Plan</b> (in development)</li> </ul>	Q4 Group review of scoping results and commission research
	A	Intervention capacity and capability	G	<ul style="list-style-type: none"> <li>Intervention powers gained under S69 LSA 2007</li> <li>Development of regulatory arrangements, processes,</li> </ul>	<ul style="list-style-type: none"> <li>Agree processes and procedures</li> </ul>	Q4 implementation

Strategic Priority	Q1 2017 (Jan to Mar)	Priority project	Q2 2017 (Apr to Jun)	Progress	Q3 Milestones 2017 (July to September)	Q4 and 2018
				<ul style="list-style-type: none"> <li>procedures and template documentation outsourced to preferred supplier</li> <li>Awaiting delivery of work commissioned externally</li> </ul>		
	A	Forensic investigation capacity and capability	G	<ul style="list-style-type: none"> <li>Scoping under way</li> </ul>	<ul style="list-style-type: none"> <li>Assessment of business need</li> <li>Staff training</li> </ul>	2018 implementation
	A	Development of entity regulation arrangements	G	<ul style="list-style-type: none"> <li>As shown in <b>Entity/ABS delivery plan</b></li> </ul>	<ul style="list-style-type: none"> <li>As shown in Entity/ABS delivery plan</li> </ul>	As delivery plan
	A	Gain designation as a Licensing Body	G	<ul style="list-style-type: none"> <li>As shown in Entity/ABS delivery plan</li> <li>Business case reported to CILEx FRSC 07/06/17</li> </ul>	<ul style="list-style-type: none"> <li>As shown in Entity/ABS delivery plan</li> <li>Lodge application for approval</li> </ul>	Monitor progress of application through LSB/MoJ stages in Q4 and 2018, implementation 2019
	A	Practice rights and entity regulation growth	R	<ul style="list-style-type: none"> <li>Awaiting receipt from CILEx of a <b>Practice Rights and Entity Marketing Delivery Plan</b></li> </ul>	<ul style="list-style-type: none"> <li>Collaborate with CILEx to support proactive delivery of an effective marketing plan with key metrics and milestones</li> <li>Review July &amp; Sep Board</li> <li>Support delivery at exec level</li> </ul>	Continued collaboration with CILEx and monitoring delivery plan
Practical collaboration with other regulators	A	Deliver CMA legal services market study recommendations	G	<ul style="list-style-type: none"> <li>Opinion survey of regulated entities undertaken</li> <li>Managers' workshop completed</li> <li><b>CMA Action Plan</b> lodged with LSB for review</li> <li>CILEx briefed and informed of regulatory response proposals</li> </ul>	<ul style="list-style-type: none"> <li>Action plan assessed as sufficient by LSB and published</li> <li>Consultation on transparency of price and service published</li> <li>New cross regulator</li> </ul>	Q4 implement action plan, evaluate consultation outcomes, progress collaborative

Strategic Priority	Q1 2017 (Jan to Mar)	Priority project	Q2 2017 (Apr to Jun)	Progress	Q3 Milestones 2017 (July to September)	Q4 and 2018
				<ul style="list-style-type: none"> <li>Legal Choices 3 year development funding proposals notified to CILEx</li> <li>Cross regulator project on regulatory data transparency under way as a preliminary to single digital register project</li> <li>Bi-lateral discussions under way with SRA about impact on regulated individuals employed in SRA regulated firms</li> </ul>	governance and partnership funding arrangements agreed	working
Address anticipated changes in the operating environment	A	Improve brand awareness	G	<ul style="list-style-type: none"> <li>Digital Engagement and Comms Co-ordinator recruited</li> <li>New multi-media web based consumer/member publication launched (<i>Regulation Matters</i>)</li> </ul>	<ul style="list-style-type: none"> <li>Scope and agree Digital Engagement and Comms Strategy</li> <li>Agree metrics</li> </ul>	Q4 Implement new Strategy
	A	Achieve planned operating costs reductions	G	<ul style="list-style-type: none"> <li>Q2 outturn within budget</li> <li>On track to achieve planned 8% costs reduction</li> <li>QE/WBL income showing improving trend</li> <li>Reduction in Board costs implemented from 1 May</li> </ul>	<ul style="list-style-type: none"> <li>Q3 outturn within budget</li> <li>Upward trend on income streams (authorisations)</li> <li>Identification of new Phoenix linked income streams (authorisation)</li> </ul>	Completes 31/12/17
	A	2018 PCF setting	G	<ul style="list-style-type: none"> <li>2018 provisional fee proposals agreed by Board (delegated powers)</li> <li>Consultation under way with CPS (AP fee)</li> <li>Provisional fee proposals reported to CILEx FRSC for Fellows PCF, Associate Prosecutor PCF, member practice rights top up, non CILEx member PCF, individual authorisation, entity authorisation/renewal, compensation contribution</li> </ul>	<ul style="list-style-type: none"> <li>Board approval of final fee 2018 proposals</li> <li>Application for approval lodged with LSB</li> <li>Approved fees published</li> <li>Invoicing under way</li> </ul>	PCF 2019 budget to be provisionally agreed in Q1 2018

Strategic Priority	Q1 2017 (Jan to Mar)	Priority project	Q2 2017 (Apr to Jun)	Progress	Q3 Milestones 2017 (July to September)	Q4 and 2018
				<ul style="list-style-type: none"> <li>o Invoicing for non PCF fees agreed for Group finance service delivery</li> </ul>		
	<b>A</b>	Review of fee setting process	<b>R</b>	<ul style="list-style-type: none"> <li>o Costs modelling specification for key processes agreed with CILEx (awaiting redevelopment of Group re-charging mechanisms under new CILEx Governance structure)</li> <li>o Delivery timescales under discussion with CILEx having regard to Group Finance service capacity</li> </ul>	<ul style="list-style-type: none"> <li>o Fee setting processes audited in collaboration with CILEx for 2019 fee setting</li> <li>o 2016 Unit costs available</li> </ul>	2017 unit costs available Q1 2018
	<b>A</b>	Redevelopment of protocols for new CILEx Group Governance structure 2018	<b>G</b>	<ul style="list-style-type: none"> <li>o High level briefing delivered by CILEx. Current protocols reviewed internally</li> <li>o SMT discussion proposals agreed</li> <li>o Scoping meeting held with CILEx 26 June 2017</li> <li>o Preliminary review exercise scoped for protocols and service level specifications</li> </ul>	<ul style="list-style-type: none"> <li>o Revised protocols scoped</li> <li>o Draft protocols aligned with regulatory arrangements</li> <li>o Scoping of work to support transition to new CILEx structure</li> </ul>	Implementation by CILEx of its new structure anticipated from January 2018