



CILEx Regulation Regulatory standards action plan progress

In June 2016 we published action plans that we had agreed with regulators, to address areas for improvement identified through our 2015/16 regulatory standards project. This report records progress made by CILEx Regulation against its [action plan](#), based on information provided in March 2017.

We will monitor progress against the ongoing actions noted below under our new regulatory performance assessment process, which we anticipate will commence in 2018/19.

Overview

CILEx Regulation has made considerable progress against most areas of its action plan. Of particular note is its progress on understanding the needs of consumers, risk and transparency. It has a number of ongoing actions that will contribute to further improvements against the standards, for example publishing a supervision policy.

Notable progress

- Implemented training and guidance in order to embed consumer awareness into all operational areas of CILEx Regulation.
- Introduced an action-plan for plain language for communications following the all regulator client care letter research.
- Issues with firms offering immigration services identified and a number of cases referred to the Office of the Immigration Services Commissioner.
- In order for more information on risks to be disseminated to the regulated community, CILEx Regulation has published a new risk management webpage and associated risk papers on its website.
- Publication of board papers on its website for the first time.

Ongoing actions

- CILEx Regulation intends to introduce evaluation of the impact of rule changes it makes. This would be a positive development, particularly in the context of its proposed application to become a licensing authority.
- Addressing the limitations to current and prospective CILEx Regulation regulated litigation firms resulting from CILEx Regulation not holding Financial Conduct Authority Designated Professional Body status. CILEx Regulation believes its firms may be placed at a market disadvantage as a result, as it limits the litigation activity that CILEx Regulation firms can undertake. It plans to engage with the relevant bodies to find solutions.
- Resolve concerns about reliance on data that is provided by members to CILEx and is used to inform CILEx Regulation's supervisory approaches.
- Whilst CILEx Regulation has made progress in developing its approach to supervision, it has not yet published a supervision policy. Its action plan contained a commitment to do this specifically in relation to its approach to supervision of self-employed practitioners.

Actions requiring collaboration across all regulators

There has been some positive progress on the all regulator actions, including:

- Jointly commissioned research into client care letters, which identified a number of recommendations for improving client engagement
- Progress on processes for information sharing between regulators
- Establishment of a cross-regulator risk forum.

Progress on other all regulator actions has been slower than we had originally anticipated. However, we recognise that collaborative working across the regulators has focussed on responding to the recommendations in the CMA's market study, which was published after the action plans were agreed.