

CILEx Regulation regulatory standards action plan

LSB regulatory standards requirement ¹	CILEx Regulation actions	Review date(s)
Outcomes-focused regulation		
<p>CILEx Regulation has high quality, up-to-date and reliable evidence on what legal services consumers need and how they use the services.</p>	<p>1. <i>LSB asked all regulators to consider what activities they could undertake to contribute to this requirement. CILEx Regulation's response:</i></p> <p>We will work collaboratively with other regulators to develop activities to deliver this requirement.</p>	<p>November 2016</p>
	<p>2. <i>LSB asked CILEx Regulation to consider how it can ensure that all staff members consider the consumer in their day to day work. CILEx Regulation's response:</i></p> <p>Building on the training provided to all our staff by the LSCP in April 2016 on Consumer Principles and Vulnerability we will develop, implement and monitor team action plans for embedding consumer awareness in all operational areas.</p> <p>We will develop our guidance to our regulated community through the CILEx Journal and communications channels, to raise awareness of best practice in relation to vulnerability and practical approaches to understanding how it may occur.</p> <p>We will contact consumer/disability charities and ask for their input on guidance we should give our regulated community.</p> <p>We will amend our on-line consumer survey to develop our understanding of consumer choice.</p>	<p>October 2016</p>
<p>CILEx Regulation can demonstrate that outcomes are being achieved.</p>	<p>3. <i>LSB asked all regulators to consider best practice from other regulatory regimes to find a mechanism to demonstrate that regulation is delivering the outcomes consumers expected and rules are having the desired impact. CILEx Regulation's response:</i></p> <p>We will work collaboratively with other regulators to develop activities to deliver this requirement.</p>	<p>October 2016</p>

¹ Please refer to *CILEx Regulation's regulatory standards report 2015/16*, available at www.legalservicesboard.org.uk.

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	<p>We will consider best practice from other regulatory regimes in gathering evidence that regulation is delivering the outcomes consumers expect and assess any lessons from other regulatory regimes that we can adapt for our use.</p> <p>We will introduce impact evaluations following rule changes.</p>	
<p>CILEx Regulation reviews and updates arrangements based on the evidence gathered.</p>	<p><i>4. LSB asked all regulators to consider what activities they could undertake to contribute to this requirement. CILEx Regulation's response:</i></p> <p>We will work collaboratively with other regulators to develop activities to deliver this requirement.</p>	<p>November 2016</p>
Risk		
<p>CILEx Regulation has formal, structured, transparent, evidence-based approaches to the collection, identification and mitigation of current and future risks which inform all regulatory processes.</p>	<p><i>5. LSB asked CILEx Regulation to consider how individual practitioners can be risk assessed in an evidence-based and proactive manner. CILEx Regulation's response:</i></p> <p>We will review our processes for identifying individual practitioners who are self-employed (in unreserved activities, locum/consultant capacity etc.). We will review our risk assessment framework and publish an evidence based supervision policy incorporating a range of supervisory tools.</p>	<p>December 2016</p>
	<p><i>6. LSB asked CILEx Regulation to consider how more information on risks can be disseminated to the regulated community. CILEx Regulation's response:</i></p> <p>We will develop a formal strategy for communication with our regulated community, including the dissemination of information on risk and how this is shared depending on who the risk might affect.</p>	<p>December 2016</p>
<p>CILEx Regulation focuses risk analysis on vulnerable consumers and consumer detriment.</p>	<p><i>7. LSB asked CILEx Regulation to build on the good work done so far to further inform evidence base on risk to consumers. CILEx Regulation's response:</i></p> <p>We will continue to engage with consumer organisations and to lead the collaborative work stream to engage with consumer organisations at a national level, to inform the evidence base on risks faced by consumers using regulated legal services.</p>	<p>December 2016</p>
<p>CILEx Regulation can demonstrate that outcomes for risk are being achieved.</p>	<p><i>8. LSB asked all regulators to develop a way to monitor and assess whether risk-based approach is working in practice and achieving the expected outcomes. CILEx Regulation's response:</i></p> <p>We will work collaboratively with other regulators to develop activities to deliver this requirement.</p>	<p>December 2016</p>

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	We will continue to monitor and refine our approach to risk-based regulation of entities via our Strategic Risk Committee, proportionate to the growth of entity regulation.	
Supervision		
CILEx Regulation has a range of supervisory tools and capacity and willingness to use them.	<p>9. <i>LSB asked CILEx Regulation to consider how individual practitioners can be supervised in an evidence-based and proactive manner. CILEx Regulation's response:</i></p> <p>We will review our processes for identifying individual practitioners who are self-employed (in unreserved activities, locum/consultant capacity etc.). We will review our risk assessment framework and publish an evidence based supervision policy incorporating a range of supervisory tools.</p>	December 2016
Capability and capacity		
CILEx Regulation has processes in place to enable learning to be shared and performance to be monitored.	<p>10. <i>LSB asked CILEx Regulation to monitor its approach to supervision to assess whether it is achieving the correct outcomes for consumers. CILEx Regulation's response:</i></p> <p>We will continue to monitor our approach to assess whether it is achieving the outcomes consumers expect.</p>	April 2017 – with a mid-point review December 2016
	<p>11. <i>We asked CILEx Regulation's Board to consider how it can demonstrate how it holds the executive to account for performance of its supervision function, for example, by reporting on the effectiveness, proportionality and value for money of supervision approaches. CILEx Regulation's response:</i></p> <p>We will report annually to the Board on performance on supervision, including indicators on effectiveness, proportionality and value for money.</p>	June 2017
CILEx Regulation has a culture of transparency and improvement.	<p>12. <i>We asked CILEx Regulation to continue to monitor and publicly report on progress and performance in authorising entities and the challenges of regulating new areas. CILEx Regulation's response:</i></p> <p>We will monitor and publicly report on progress and performance in authorising entities and the challenges of regulating new areas.</p>	Ongoing
	<p>13. <i>We asked CILEx Regulation to consider publication of Board papers. CILEx Regulation's response:</i></p> <p>We will benchmark our approach against other regulators and invite our Board to consider options for publication of Board papers, or executive summaries, possibly using a pilot approach with review.</p>	October 2016