

## Non-qualifying Regulatory Provision Summary Assurance Statement

**Regulator: Claims Management Regulation Unit (CMR)**

**Business Impact Target Reporting year: May 2015 to May 2016**

**RPC reference: RPC-3378(1)-MOJ-CMRU**

<b>Table 1: Non Qualifying Regulatory Provisions that came into force during the first Business Impact Target reporting period - 8 May 2015–26 May 2016</b>															
<b>Excluded Category</b>	<b>Summary of measure(s), including any impact data were available**</b>														
Fines and Penalties	We have fined five businesses over £2 million in total for a range of rule breaches, including unlawful, unsolicited marketing and coercing clients into signing contracts without giving them enough time to understand the terms before taking payment.														
Casework	<table border="1" style="width: 100%;"> <tr> <td colspan="2">Figures for May15 to Feb 16:</td> </tr> <tr> <td>investigations started</td> <td style="text-align: right;">74</td> </tr> <tr> <td>licences cancelled</td> <td style="text-align: right;">66</td> </tr> <tr> <td>warnings issued</td> <td style="text-align: right;">206</td> </tr> <tr> <td>audits carried out</td> <td style="text-align: right;">252</td> </tr> <tr> <td>visits conducted</td> <td style="text-align: right;">1060</td> </tr> <tr> <td>consumer contacts</td> <td style="text-align: right;">5146</td> </tr> </table>	Figures for May15 to Feb 16:		investigations started	74	licences cancelled	66	warnings issued	206	audits carried out	252	visits conducted	1060	consumer contacts	5146
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Education, communications and promotion	We published our 2014/15 CMR Annual Report; updated CMR website with information as needed; issued regular quarterly business bulletins; held regular quarterly stakeholder group meetings; and provided media lines in response to press/media enquiries and articles etc.														
Activity related to policy development	Briefed ministers on various CMR topics as needed relating to PQs debates etc. We conducted policy reviews on the level of fees business should charge customers; level of fees business pay for authorisation and issued consultation papers on those topics. Also, part of policy reviews to tackle nuisance/cold calling and fraudulent personal injury claims (eg whiplash) via various Government task force/groups.														
Changes to management of regulator	Following a fundamental review of CMR, responsibility for regulating CMCs will be transferred from the MoJ/CMRU to the Financial Conduct Authority, to implement a new regulatory regime. This will require a significant amount of work together with primary legislation. The transfer is expected to be completed around 18 months from the point in time that legislation is introduced.														

## Non-qualifying Regulatory Provision Summary Assurance Statement

Regulator: Claims Management Regulation Unit (CMR)

Business Impact Target Reporting year: May 2016 to June 2017

RPC reference: - RPC-3757(1)-MOJ-CMRU.

Table 2: Non Qualifying Regulatory Provisions that came into force during the second and final Business Impact Target reporting period - 27 May 2016–8 June 2017																							
Excluded Category	Summary of measure(s), including any impact data were available**																						
Fines and Penalties	Since May 2016 the CMR has fined eight businesses over £1,125,000 in total for a range of rule breaches, including unlawful, unsolicited marketing and coercing clients into signing contracts without giving them enough time to understand the terms before taking payment.																						
Casework	<table border="1" style="width: 100%; border-collapse: collapse; margin-bottom: 10px;"> <thead> <tr> <th style="width: 50%;"></th> <th style="width: 25%;">May 15 to April 16</th> <th style="width: 25%;">May 16 to April 17</th> </tr> </thead> <tbody> <tr> <td>investigations started</td> <td style="text-align: center;">83</td> <td style="text-align: center;">64</td> </tr> <tr> <td>licences cancelled</td> <td style="text-align: center;">66</td> <td style="text-align: center;">67</td> </tr> <tr> <td>warnings issued</td> <td style="text-align: center;">241</td> <td style="text-align: center;">194</td> </tr> <tr> <td>audits carried out</td> <td style="text-align: center;">316</td> <td style="text-align: center;">372</td> </tr> <tr> <td>visits conducted</td> <td style="text-align: center;">1254</td> <td style="text-align: center;">881</td> </tr> <tr> <td>consumer contacts</td> <td style="text-align: center;">6729</td> <td style="text-align: center;">4774</td> </tr> </tbody> </table> <p>No activities listed in this section represent a change in the burden of regulation placed on business, except where these result from a separate qualifying regulatory provision that has been assessed.</p> <p>The previous year's figures are included. This demonstrates there has been no significant change in the number of cases dealt with compared to previous reporting years. The fall in the year on year figures is the result of an overall fall in the number of CMC's operating in the CMC market.</p>			May 15 to April 16	May 16 to April 17	investigations started	83	64	licences cancelled	66	67	warnings issued	241	194	audits carried out	316	372	visits conducted	1254	881	consumer contacts	6729	4774
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### Regulator: Claims Management Regulation Unit (CMR)

	<p>Any business providing regulated claims management services in England and Wales is, unless exempt, required to be authorised by the Claims Management Regulation Unit irrespective of their registered address or location of the business. Businesses authorised under the Compensation Act are subject to a range of statutory conditions, including compliance with conduct rules geared firmly towards consumer information and safeguards. Businesses that do not comply with the conditions of authorisation (including the conduct rules) are subject to appropriate enforcement action.</p>
Education, communications and promotion	<p>We publish a CMR Annual Report; updated CMR website with information as needed; issued regular quarterly business bulletins; held regular quarterly stakeholder group meetings; and provided media lines in response to press/media enquiries and articles etc.</p>
Activity related to policy development	<p>Briefed ministers on various CMR topics as needed relating to PQs debates etc. We conducted policy reviews on the level of fees business should charge customers; level of fees business pay for authorisation and issued consultation papers on those topics. Also, part of policy reviews to tackle nuisance/cold calling and fraudulent personal injury claims (e.g. whiplash) via various Government task force/groups.</p>
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