

Strategy Implementation Plan 2024

UPHOLDING STANDARDS WHILST PURSING INNOVATIVE MODELS TO IMPROVE ACCESS AND MINIMISE THE REGULATORY BURDEN

Total Budget: £127,373

	Objective	Measurement	Target	Action Programme	Timescale	Resources	Responsible Officer	Current Position
1.1	Review regulatory model <i>Develop revised entity regulation proposal</i>	Increased applications and regulated firm numbers to rebalance Fellow PCF to non-Fellow PCF proportions <i>Links to financial performance measure in BSC</i> <i>KPI reports %Fellow PCF to %Non-Fellow PCF/Non-PCF income</i>	<i>30 firms by end 2024</i>	<u>Develop proposals for change (including compensation arrangements)</u> <u>Stakeholder engagement (comms plan) – LSB and prospective regulated community</u> <u>Rule change application (links to operational plans for implementation)</u>	TBC – dependent on outcome of CILEX review. TBC	CEO, DoO (GP) PC CEO & DoO	CEO	

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1.2	Review regulatory model <i>(Links to LSB and SRA research into the unregulated sector and includes consideration of CLE work in unreserved areas)</i>	Identification of groups for CRL regulation in the future	<i>TBC</i>	Review of legal landscape Commission research to explore the legal services landscape to understand gaps in the regulatory market from the perspectives of the regulated community and consumers. Identify gaps in current landscape and present findings to the Board	TBC dependent on outcome of CILEX review.	Staff time (CEO, DoO, DoG) (GP, SK, SC, SO)	CEO	
1.3	Review regulatory model <i>Review the scope of reserved activity-based regulation against the requirements for delivering specialist legal services in practice</i>	Reduced complaints from practitioners in relation to operation of specialist authorisation in practice.	<i>0 complaints relating to activities that can be undertaken by specialist practitioners</i>	Research with regulated community to identify limitations of regulation by specialism v generalist authorisation Recommendations for change presented to CRL Board Publish guidance from Russell-Cooke on litigation	Dependent on outcome of CILEX review. March 2024 July 2024 January 2024	CEO, DoO (SO)	CEO, DoO	

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				following discussion with CILEX on impact on CLEs				
1.4	<p>Review regulatory model <i>NEW OBJECTIVE</i></p> <p><i>Develop with CILEX a cohesive approach to the understanding of and encouraging the take up of practice rights.</i></p>	Increased applications for practice rights from individuals.	<i>TBA individuals by end 2024</i>	<p>Develop materials with CILEX so regulated community understand scope of authorisation and what practice rights deliver.</p> <p>Agree a timetable of promotion of practice rights with CILEX</p> <p>Work with ULaw on delivery of timetable</p>	<p>Dependent on outcome of CILEX review.</p> <p>Q1 2024</p> <p>Then ongoing</p>	<p>DoO</p> <p>MW & SO + PAS team</p>	CEO, DoO	
2.1	<p>Embed culture of innovation at CRL</p> <p>(External focus)</p>	Attendance at external meetings and collaboration with other frontline regulators.	<i>TBC</i>	<p>Collaboration with other front-line regulators, the LSB and other interested parties to promote the use of legal technology and innovation in the sector.</p> <p>Implement proposals in</p>	<p>Ongoing</p> <p>Q1 2024</p>	DoG	CEO, DoG	

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				relation to unbundling projects to develop innovation in CRL firms		DoG, DoO (SC, GP)	DoO	
2.2	<p>Embed culture of innovation at CRL</p> <p>(Internal focus)</p> <p><i>This has been written assuming that 2022 CRM developments have been implemented during 2022</i></p>	CRM developments for CRL are implemented and effective	<p>Online applications</p> <p>Process improvements for enforcement and authorisation</p>	<p>Utilise technology and innovation within CRL and embed a culture of continuous improvement to aid delivery of best value legal regulation.</p> <p>Revisit online requirements with CILEX IT team to deliver all outstanding requirements including online application processes</p>	TBC dependent on outcome of CILEX review.	<p>CEO, DoO, (SO, GP, AA)</p> <p>And in conjunction with CILEX IT team.</p>	CEO	
3.1	<p>Enhanced approach to individual supervision</p> <p><i>Links to LSB's ongoing competence requirements</i></p>	Full risk profiles of CILEX membership available on CRM	Risk profiles available on all CILEX TBC: members (KPI = 99%)	Using risk profiles, existing CPD information and working with other regulators, implement ongoing competence action plan provided to LSB in Jan 23	Rule change submitted Q1 2024 for Probate Education standards	<p>Staff time DoG, DoO (SO)</p> <p>Collaboration with LSB and front-line regulators</p>	DoG	

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3.2	Risk-based enforcement <i>This is dependent on the introduction of risk-based supervision (see above)</i>	Risk profiles are utilised to prioritise work within the enforcement team	100% cases utilise the risk scores available in the CRM	Using risk profiles, the enforcement team prioritises investigations based on risk.	Completed	CEO, DoO, (SM, AA)	DoO	
3.3	Introduce practice rules and guidance to support the CRL code of conduct	Enforcement Rules and Guidance consolidated in a handbook	Handbook drafted	Consultation released Consultation analysis Proposals developed and agreed with Board Proposals submitted to LSB	Q1 2024 Q2 2024 Q3 2024 Q3 2024	CEO, DoO, (SM, AA)	DoO	
3.3	Review of regulatory arrangements	Create proposals for future of regulatory arrangements at CRL	Proposal submitted to CILEX	Consultation released Consultation analysis Proposals developed and agreed with the Board Proposals submitted to LSB	Completed	CEO CEO CEO CEO	CEO	

ENHANCING THE INFORMATION AVAILABLE TO CONSUMERS TO IMPROVE ACCESSIBILITY TO LEGAL SERVICES

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4.1	Improve the information available to consumers	Legal Choices development plan completed	By end of Q1	<u>Legal Choices Development Plan</u> Contribute to and agree the development plan for legal choices 2024 Including possible review of navigation on website.	Q1 2024	DoG, (SC)	DoG	
4.2	Improve the information available to consumers	BSB-led PLE sub-group of MTCOG actions implemented		Continue to contribute to cross-regulator initiatives TBC	Linked to BSB digital exclusion research	CEO, (SC)	DoG	
4.3	Improve the information available to consumers	Single Digital Register (now known as the Regulatory Information Service) or equivalent agreed to be in place Quality Indicators Pilot evaluation completed and implementation action plan in place	Regulatory Information Service live Actions agreed Actions implemented	<u>MTCOG subgroup</u> - Cost/benefit analysis - Product live <u>Improving access to regulatory information</u> - Review quality indicators pilot - Agree cross-regulator actions - Implement changes	Lead by LSB, CRL will engage as required. Q1 2024	CEO, (SC) Staff time DoG (SC)	SoG, DoO	

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5.1	Ensure that there are high levels of compliance with the minimum standard of transparency across the legal services sector	<p>ACCA firms compliant with transparency rules</p> <p>Success of Transparency Rules has been evaluated, to include:</p> <ul style="list-style-type: none"> - Effectiveness of existing rules (e.g., should they be more prescriptive) - Extension to other areas of practice - Extension of information provided by firms (e.g., mix of staff, outcomes from Q1 pilot etc.) - Extension to regulated individuals - Provision of information to assist consumers in finding legal representation (e.g., digital comparison tools) 	ACCA firms compliant with Transparency Rules	<p>Guidance and support issued to all ACCA firms to ensure compliance</p> <p>Evaluation of Transparency Rules in accordance with gap analysis provided to LSB and participation in subsequent initiatives led by LSB (where instigated)</p> <p>Consultation on proposed changes to regulatory arrangements</p>	<p>Completed</p> <p>Q1 2024</p> <p>Q2 2024</p>	<p>Staff time DoO SC, GP</p> <p>DoG (SC)</p>	DoG	
6.1	Contribute to the development of new technologies	TBA		Continued involvement in legal tech forums and groups with focus on improving legal services for consumers		DoG	DoG	

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6.2	Introduce risk-based enforcement (see standards objective 2)			Carried forward from 2021 and 2022 Business Plans to be actioned once risk matrices for supervision have been implemented	Completed	AA	DoO	

CHAMPIONING FAIR ACCESS FOR ALL IN THE LEGAL SERVICES MARKET	Total Budget: £127,373
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7.1	Improve the ability of aspiring lawyers to enter and progress in the profession	CRL regulated firms develop EDI policies, checked through entity annual returns		(i) Renewed EDI campaign reporting of learnings at CRL Entities Event, including discussion of EDI at CRL Entities Event (ii) review outcomes of soft EDI engagement with CRL entities (iii) publish a second report of progression data	Dependent on outcome of CILEX review	CEO, DoG, DoO (GP, SC) CEO, DoG, DoO (GP, SC) SC	DoG	
8.1	Use data effectively Measure impact, chart progress	Analyse the data from 2023 Diversity Data Survey by reference to previous data surveys to identify any new trends e.g.,:		(i) publish the Data Diversity Report in similar format to 2021 updated to include	Data Diversity Report published Q3 2023	SC	DoG	

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	and evaluate the effectiveness of equality actions to enable us to understand the outcomes for consumers and the regulated community	<ul style="list-style-type: none"> - Cross-qualification to become a solicitor - Leavers - Review and implementation of LSB's research into solutions for counter inclusive practices - Monitoring CPQ EDI data 		<ul style="list-style-type: none"> benchmark progression data (ii) develop a plan to address any issues of concern which are identified and celebrate successes 	Q1 2024	DoG (SC)		
9.1	Improving access to legal services: identifying and working to resolve barriers faced by regulated community and consumers from diverse backgrounds to improve access to legal services	<p>Research commissioned and findings analysed</p> <p><i>Research linked to with other strategic objectives:</i></p> <ul style="list-style-type: none"> - <i>Standards, and Consumer</i> <p>CRL is participating in cross-regulator research into digitally exclusion</p>		<ul style="list-style-type: none"> (i) Initial research and scoping (ii) Outreach to other regulators and stakeholders to identify areas where we can make a difference 	<p>Completed</p> <p>Q2 2024</p>	<p>£Budget required</p> <p>+</p> <p>DoG (SC)</p>	DoG	