

CONSUMER ENGAGEMENT ACTION PLAN 2017

APPENDIX 2

Strategic Objectives					Key	
1.To engage proactively with consumers of legal services and other stakeholders; and use the information gained to inform evidence based policy development.					Progressed as plan	
2.To acquire consumer information and intelligence from research and other appropriate sources to use in the development of evidence based policy.					Partly progressed	
3.To provide information in plain and accessible language to help consumers make decisions about legal services, understand the standards they can expect and how to complain if necessary.					Not delivered yet	
4. To explore work steps we can take to improve transparency of regulatory of decision making information consumers need in order to navigate the legal services market.					Not due yet	
5. To consult consumers and other stakeholders about our regulation of legal services and take account of their views in the development of our organisation.						
6.To consider what measures we can take and what actions we can promote in those we regulate to support improvement in transparency of decision making information about legal services for consumers to support access to services.						
7.To raise consumer awareness across our organisation and enhance consideration of the consumer perspective in our regulatory work.						
AIM:	ACTIVITY:	BY:	ACTIVITY REVIEW	Review date	Delivers objective:	
All CRL staff						
Increase awareness of consumer issues, needs and vulnerability within the day to day work.	Disseminate consumer related information through staff meetings.	Consumer Engagement			7	
	Use plain language, avoid technical language, jargon, abbreviations and acronyms in communications.	All staff			7	
	In all communications, staff to be alert to the possibility that consumers or people with whom they are dealing, may be vulnerable. Where appropriate staff are encouraged to ask sympathetic questions to understand if reasonable adjustments are required.	All staff			7	
Complaints and Disciplinary Process						
Improve user satisfaction levels.	Invite 100% of complainants and subject members to complete satisfaction survey on CRL complaint handling process.	Investigation team			1, 3	
Identify learning points and process improvements.	Analyse trends and report annually.	Investigation team			1, 3	
Ensure process development is evidence based.	Review and develop complaint handling process having regard to learning points.	Investigation team			5	
Improve effectiveness of survey.	Review survey format and improve as required.	Investigation team			5	
Investigation Team						
Continue to raise awareness within the investigations team of	When drafting allegations staff will give consideration to whether there are issues of consumer vulnerability which should be addressed/included.	Investigation team			7	

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consumer issues generally and with a specific focus on consumer vulnerability and its dynamic nature.	Within each investigation staff will look for consumer issues and issues of consumer vulnerability. The Investigations Manager (IM) will disseminate learning points relating to consumer issues and vulnerability through: advice emails, one to one and team meetings.	Investigation team/ IM			7
	The IM will create an on-line resource bank of the learning points relating to consumer issues and vulnerability. The team will be encouraged to review this resource when case related issues arise.	Investigation team/ IM			7
First Tier Complaints:					
Identify first tier complaint data source	Ask 100% of renewing members within annual membership renewal process whether they had first tier complaint/s Yes/No	CILEx Member Services (question 9 on membership renewal)			1
Identify extent and profile of first tier complaints amongst regulated community	Invite 100% of Yes group to complete survey	Consumer Engagement			1
Measure trends, identify learning points	Analyse and report results	Consumer Engagement			1
Identify regulatory, supervision and monitoring information	Invite feedback from Strategic Risk Committee on risks and learning points. Consider whether action is required.	Entity team			2
Reduce service failures; maintain/improve compliance with first tier complaints guidance	Member engagement/communications on learning points/education/risk bulletins and information on lawyers and entity pages of website	Consumer Engagement/ Comms/ Entity team			1
First Tier Complaints:					
Assess compliance with guidance	Identify 100% of newly self-declared self-employed regulated members doing unreserved work	Entity Team			3, 5
Identify compliance levels	Contact 100% of newly self-declared self-employed regulated members doing unreserved work to assess compliance with guidance	Entity Team			3, 5
Improve compliance levels, rectify areas of non compliance	Give feedback to self employed members on client care and compliance with First Tier Complaints Handling Guidance	Entity Team			3, 5
Improve compliance levels, rectify areas of non compliance	Contact CILEx Regulation regulated entities to check compliance with first tier complaints guidance through annual return and supervision visits.	Entity Team			3, 5

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Entity Team					
To maintain and raise awareness of consumer needs and issues within the entity team in the authorisation and regulation processes and procedures	The Entity Manager and team will consider ways in which increased focus on consumer issues can be brought into the authorisation and review processes.	Entity Team			
	The Entity Manager will draft and publish consumer focussed issues and consumer vulnerability information within risk management (on the CRL website).	Entity Team			
Practitioner Team					
To maintain and raise awareness within the practitioner team of consumer needs, issues and vulnerabilities in the different authorisation processes	Members of staff will continue to assess applications by making sure that minimum standards are met. The staff's work will continue to focus on the need to ensure standards of authorised members to protect consumers and meet their needs. The Practitioner Team Manager will continue to ensure that the standards are upheld through sub-team and team meetings, moderation and spot checks.	Practitioner Team			
	The team will continue to monitor regulated members for activities which may raise regulatory issues pass the information to the investigations team.	Practitioner Team			
	The Practitioner Team Manager will continue to review the application processes and procedures to ensure they deliver an efficient assessment process.	Practitioner Team			
Data sharing with Legal					
Improve understanding of complaints made about members and entities, identify areas for education of members	Finalise bilateral MoU with the SRA. Finalise operational protocols with the legal regulators, save for IPReg, which will operate alongside the MOU. Share data under terms of MoU and operational protocol	Consumer Engagement/ Investigation/ Entity			1
Stakeholder engagement to gather information for regulation.	Attend research/ regulators forum, engage with individuals within LeO and other stakeholders. Disseminate within CRL and where appropriate communicate educational information to regulated members and authorised entities.	Consumer Engagement/ Investigation			1
Client feedback					
Gather data on client satisfaction, educate regulated community, identify areas of risk	Ask 100% of self employed members to sign post clients to Client Satisfaction Survey.	Consumer Engagement/ Entity Team			1, 5

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Gather data on client satisfaction, educate regulated community, identify areas of risk	Ask 100% of authorised entities to sign post clients to Client Satisfaction Survey	Entity Team			1, 5
Increase data collection levels	Promote awareness of survey to all consumers of legal services provided by CLR regulated members.	Consumer Engagement			1, 5
Consumer panel					
Recruit individuals and small businesses (10 employees of less) to establish a consumer panel.	Recruit through client survey. Explore other ways of doing achieving this.	Consumer Engagement			1, 2, 4, 5
Consumer Sector Engagement					
Gather sector information and the consumer perspective to inform our work. Raise awareness of CRL's work with the public, consumers of legal services and consumer organisations.	Look for opportunities to engage with consumers, stakeholders, other organisations with a link to the legal sector and consumer organisations.	Consumer Engagement			1
Develop new and existing links with LSCP and key consumer organisations to: progress work and explore collaboration re CMA and Legal Choices work; ECO workstream and CRL website.	Engage with existing contacts and make new approaches as appropriate to meet aims.	Consumer Engagement			1, 2, 3, 4, 5,
Keep up to date with consumer expectations and approaches to consumer engagement	Identify collaborative work/comms on a bespoke basis	Consumer Engagement			1, 2
Identify consumer expectation issues.	Review research/ reports from legal sector and other sectors where appropriate.	Consumer Engagement			1, 2,3,4
Share information with aim of regulatory arrangements delivering consumer expectations.	Brief and work with managers re impacts on their areas for development of regulatory practice.	Consumer Engagement			1, 2,5

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Data Transparency					
Progress work to consolidate existing approach and promote advance thinking on CRL's response to CMA recommendations	Report to managers and Board and take required actions	Consumer Engagement / managers			1,2,3,4,5,6
Develop work re CMA recommendations.	Collaborate with regulators through the Regulators Forum, LC editorial panel and other activities as identified. Consult with regulated community re minimum disclosure information. Review code of conduct and consider if any revision is required.	Consumer Engagement / managers			1,2,3,4,5,6
Explore measures CRL might take to promote transparency in those we regulate.	Develop work as required taking account of the actions identified through the CMA Implementation Board, Regulators Forum and LC editorial panel.	Consumer Engagement / managers			6
Inform policy development	Monitor developing requirements from LSCP proposals, LSB and CMA.	Consumer Engagement			1,2,3,4,5,6
Public Profile Development					
Identify opportunities for increased transparency and public profile	This is anticipated to be linked with the CMA work.	Consumer Engagement			2
Legal Choices website					
Eduate consumers re legal services/ the legal services market. Provide information to support consumers in their choice and use of legal services.	Maintain proactive membership of editorial panel and attend panel meetings. Maintain and develop website content.	Consumer Engagement			1, 2, 3, 4,
Develop the LC website and content in-line with CMA recommendations.	Through editorial pane membership develop website and content and seek collaboration/input/guidance with consumer organisations, Citizens Advice.	Consumer Engagement			1, 2, 3, 4,
Proactive engagement with consumers	In collaboration with other regulators, stakeholders and consumer organisations to promote awareness of the website amongst consumers especially by use of social media	Consumer Engagement/ Comms			1, 2, 3, 4,

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CILEx Regulation website					
Provide information for consumers including: to support their decision making about legal services, understand service standards, how to seek redress.	Maintain and develop content for Consumer section of CILEx Regulation website.	Consumer Engagement			3
Provide a professional register on the CRL website.	Continue and finalise work to provide the CRL practitioner directory.	Consumer Engagement			3
Improve presentation of information about entities, insurance and intervention.	Carry out work to improve content.	Consumer Engagement / Entity			3
Explore from the consumer point of view if the content/navigation of the website can be improved.	Seek the views of: LSCP, consumer organisations, consumers recruited to the CRL consumer panel.	Consumer Engagement			3
Research activities					
To gather evidence to feed into decision making by carrying out collaborative consumer engagement and research work.	Through the CEO, Regulators Forum and other work streams, identify opportunities/ requirements to carry out collaborative work and research with other legal regulators.	CEO & Consumer Engagement			1, 3