

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 2 To provide information to help consumers make decisions about legal services, understand the standards they can expect and how to complain if necessary 3 To consult consumers and other stakeholders about our regulation of legal services and take account of their views in the development of our organisation						Green	Progressed as plan
						Amber	Partly progressed as plan
						Red	Not delivered yet
						White	Not started yet
GOAL:	DELIVERS STRATEGIC OBJECTIVE:	ACTIVITY:	WHEN:	BY:	STATUS	Q4 PROGRESS: (Oct to Dec 2016)	
Complaints and Disciplinary Process							
Improve user satisfaction levels	1, 2	Invite 100% of complainants and subject members to complete satisfaction survey on CRL complaint handling process	Within 7 days of conclusion of complaints process (+ 2 reminders)	Enforcement	Green	22 consumer survey questionnaires sent out during Q4	
Identify learning points and process improvements	1, 2	Analyse trends and report annually	January 2017 for 2016 Annual Report	Enforcement		Not due	
Ensure process development is evidenced based	3	Review and develop complaint handling process having regard to learning points	January 2017 for 2016 Annual Report	Enforcement		Not due	
Improve effectiveness of survey	3	Review survey format and improve as required	January 2017 for 2016 Annual Report	Enforcement		Not due	
First Tier Complaints: Complaints handling							
Identify first tier complaint data source	1	Ask 100% of renewing members within annual membership renewal process whether they had first tier complaint/s Yes/No	Q4 2015/Q1 2016	CILEx Member Services (question 9 on membership renewal)	Green	Done	
Identify extent and profile of first tier complaints amongst regulated community	1	Invite 100% of Yes group to complete survey	Q1 & 2 (main group Jan plus mop ups)	Consumer Engagement	Green	Survey closed June. 222 response, 58% rate (194/72% in 2015)	
Measure trends, identify learning points	1	Analyse and report results	June	Consumer Engagement	Green	Data analysis and review under way	
Identify regulatory, supervision and monitoring information		Invite feedback from Strategic Risk Committee on risks and learning points	November	Entity Authorisation and Supervision team		The SRC did not meet at the end of Q3/Q4. Provision of feedback will be taken forward into 2017.	
Reduce service failures; maintain/improve compliance with first tier complaints guidance	1	Member engagement/communications on learning points/education	Q3 & 4	Consumer Engagement/ Comms	Amber	FTCH & ADR compliance article in the November Journal. Further article planned for February Journal.	

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First Tier Complaints: Compliance with Guidance						
Assess compliance with guidance	2, 3	Identify 100% of newly self-declared self-employed regulated members doing unreserved work	Monthly Concept database query	Entity Authorisation and Supervision	Green	Achieved through database searches, self-declaration and risk intelligence. Questionnaire provided to CILEx to assist with identification of self-employed members.
Identify compliance levels	2, 3	Contact 100% of newly self employed members doing unreserved work to assess compliance with guidance	Within 10 days of registration as self employed	Entity Authorisation and Supervision	Green	Invited to complete questionnaire. Unless locum, they are asked for client care letter (CCL) and Complaints handling procedure (CHP)
Improve compliance levels, rectify areas of non compliance	2, 3	Give feedback to self employed members on client care and compliance with First Tier Complaints Handling Guidance	Within 10 days of response	Entity Authorisation and Supervision	Green	Feedback provided upon receipt of CCL and CHP is received (some are reluctant to engage)
Improve compliance levels, rectify areas of non compliance	2, 3	Contact CILEx Regulation regulated entities to check compliance with first tier complaints guidance through annual return and supervision visits.	tbc	Entity Authorisation and Supervision	Green	CHP and CCL are checked on authorisation. Compliance reviewed as annual return process
Data sharing with Legal Ombudsman and other regulators						
Improve understanding of complaints made about members and entities, identify areas for education of members	1	Negotiate MoU with LeO and other regulators for setting common objectives for consumer feedback and complaints data sharing	tbc (SRA redrafting terms after vetoing 1st draft)	Consumer Engagement	Green	New all regulator framework MoU complete. SRA have approached CRL to enter into a bilateral MOU with them. An operational document will operate alongside the MOU to address data sharing in enforcement Newsletter link to LeO article about signposting to LeO.
Stakeholder engagement	1	Share data under terms of MoU	tbc	Consumer Engagement		Information sharing is taking place with other stakeholders. E.g. 12 instances with OISC in 2016.
Client Satisfaction Survey						
Gather data on client satisfaction, educate regulated community, identify areas of risk	1, 3	Ask 100% of self employed members to sign post clients to Client Satisfaction Survey.		Consumer Engagement	Green	Survey live from January 2016. 24 responses as at end of Q2, 33 responses at the end of Q3 and 34 Q4. Total responses during the year was 67.
Gather data on client satisfaction, educate regulated community, identify areas of risk	1,3	Ask 100% of authorised entities to sign post clients to Client Satisfaction Survey		Entity authorisation and Supervision	Green	On-going

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Increase data collection levels	1, 3	Promote awareness of survey to all consumers of legal services provided by CLR authorised members.		Consumer Engagement	Amber	Survey moved to Homepage of website and consumer section. Email and e-shot promoted survey again in Q4. 10 responses in Q1, 14 responses in Q2, 9 responses in Q3, 34 response in Q4
Consumer Sector Engagement						
Gather sector intel, raise our profile	1	Maintain and grow database of consumer organisation contacts	Review quarterly	Consumer Engagement	Amber	Database in development
Develop links with key consumer organisations	1	Engage with key contacts, initially by visit, to explore opportunities for collaboration and explain our role	Review quarterly	Consumer Engagement	Amber	Consumer organisations invited to Regulators' Forum to share work/ research. Currently engaging with Citizens Advice on their "Against the Clock" report. and 10 Tips to prepare to meet a legal advisor.
Keep up to date with consumer expectations and approaches to consumer engagement	1	Identify collaborative work/comms on a bespoke basis	Review quarterly	Consumer Engagement	Amber	Citizens Advice "Against the Clock" identified as important for policy decisions around provision of information to consumers who are time as well as money short (completed 01.2017)
Share intel	1	Brief management team on current issues	Quarterly	Consumer Engagement	Green	Consumer briefings at monthly staff meetings embedded
Identify consumer expectation issues	1	Review LSCP and other consumer sector reports	Within 4 weeks of publication	Consumer Engagement	Green	CMA final report published December. Clear recommendations made about needs of consumers and transparency work required by regulators to meet consumer needs.
Develop consumer issues knowledge map	1	Maintain summary of key developments	Review knowledge map quarterly	Consumer Engagement	Amber	In development
Ensure regulatory arrangements deliver consumer expectations	3	Brief managers on impacts on areas for development of regulatory practice	As required and review quarterly	Consumer Engagement	Green	On going e.g. staff briefings
Comparison Data						
Consolidation of existing approach, promote advance thinking on response to future requirements for disclosure (e.g. complaints data)	1	Develop a Comparison Data Policy for Board approval - revised to report to Board and include data issues generally)	By end June 2016 - revised to September	Consumer Engagement	Amber	CMA final report published in December 2016 with recommendations for minimum disclosure requirements.
Inform policy development	1	Monitor developing requirements/ LSCP proposals	As required	Consumer Engagement	Green	Policy development requirement identified

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Public Profile Development						
Identify opportunities for increased transparency and public profile	2	Audit CRL consumer profile and information in the public domain including website	Q1	Consumer Engagement	Amber	See CILEx Regulation public information document (this identifies websites which mention CLR, or those which should or should include references to CLE but only refer to solicitors and barristers.)
Identify opportunities for increased transparency and public profile	2	Research best practice amongst comparable organisations	Q2	Consumer Engagement		Rolled into work in collaboration with other regulators to deliver CMA recommendations
Ditto	2	Develop costed recommendations for increased public transparency	Q3	Consumer Engagement		Ditto
Legal Choices website						
Informing consumer choice	2	Maintain proactive membership of editorial panel and attend panel meetings	Quarterly	Consumer Engagement	Green	ECO agreed that LC should host 10 Tips for preparing for a meeting with a legal services and liaise with Citizens Advice as to best presentation of content.
Helping consumers make decisions about legal services	2	Maintain and develop website content	As required	Consumer Engagement	Green	Provision of feedback on articles; updating items on the site, written articles; provision of social media articles and improvement of pages
Proactive engagement with consumers	2	In collaboration with other regulators promote awareness of the website amongst consumers especially by use of social media	Review quarterly	Consumer Engagement/ Comms	Green	Provision of feedback on articles/social media articles and improvement of page
CILEx Regulation website						
Informing consumers	2	Maintain and develop content for Consumer section of CILEx Regulation website	As required and review quarterly	Consumer Engagement	Green	Work carried out Q1, none required Q2. Work required identified and plan to carry out work in Q4 to be carried out Q1 2017
Informing consumers of service standards	2	Improve accessibility to the FTCH survey results. Develop information about good service.	Q1 & Q2	Consumer Engagement	Green	Ongoing work to improve presentation and accessibility of website information
Improve presentation of decision making information	2	Investigate if access to CILEx Authorised Practitioners register and presentation of information about it can be made more consumer accessible	Q2 & Q3	Consumer Engagement	Amber	CRL practitioner directory experienced issues with developer following identification of bugs during testing. CILEx are in discussion with developer.
Improve presentation of decision making information	2	Investigate if access to other decision making information such as disciplinary can be presented in a more consumer accessible way alongside other decision making information	Q2 & Q3	Consumer Engagement	Amber	Decision taken to recruit consumers through client feedback and approach CO for this

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Research activities						
To understand consumer issues with Client care letters and develop key principles for communicating client care information	1, 3	Through the Regulators' Forum, collaborate with other approved regulators to initiate and progress research through an independent research company	Q1-Q3	Consumer Engagement	Green	Completed
To carry out collaborative consumer engagement and research work	1, 3	Through the CEO Forum carry our collaborative work and research with other approved regulators	TBC through CEO Forum	CEO & Consumer Engagement	Amber	Hosting of 10 tips for preparing for a meeting with a legal services provider under discussion with Citizens Advice Bureau as to format.