

	<b>CILEx Regulation Limited</b>
<b>Date</b>	17 November 2022
<b>Item</b>	<b>5</b>
<b>Title</b>	<b>Chief Executive's Report</b>
<b>Author</b>	<b>Janine Griffiths-Baker, Chief Executive (Interim)</b>
<b>Purpose</b>	This report updates the Board on key activities across the organisation since 28 September 2022
<b>Recommendation</b>	The Board is invited to <b>NOTE</b> this report
<b>Timing</b>	N/A
<b>Impact assessment</b>	None
<b>Appendices</b>	None
<b>For publication</b>	Yes

## **Legal Services Board**

### **Submissions**

- On 25 October 2022, the Chief Executive submitted a report to the Legal Services Board for the 2022 Annual Performance Assessment. This year's assessment focused on:
  - CRL's general performance in relation to the regulatory performance standards and outcomes and any issues that have arisen since the LSB 2021 annual assessment;
  - how CRL has taken account of the LSB's findings of its targeted review of the Faculty Office's performance against the Well-led standard, which was published in September 2021;
  - how CRL has responded to the following issues and policy developments which have arisen during the past year:
    - sanctions and their enforcement; and
    - the LSB's policy statement on consumer empowerment;
  - how CRL builds and maintains its evidence base to inform policy-making, in particular how this has been achieved in relation to work to review CRL's compensation arrangements;
  - how CRL ensures that its practitioner directory is accessible and accurate, together with details of any planned work to review or amend the directory; and
  - how the CRL Board holds its executive to account to operate effectively and efficiently and in a way that is compatible with the regulatory objectives.

The report was reviewed by the CRL Chair prior to submission and copies of the final document were sent to all Board members.

### **Applications**

2. The Qualifying Employment application for rule change, as considered by the Board at its September meeting, was submitted at the end of October 2022.
3. The application for rule changes to create a presumption of remote hearings for disciplinary cases, considered at the July meeting, was submitted at the end of October 2022.
4. The application to update the Professional Qualifications rules and guidance following the enactment of the Professional Qualifications Act 2022, required to keep CRL's processes in line with the new legislation, has been discussed with the LSB who have confirmed that the application is considered suitable for the Exemption Direction process. The application was submitted at the end of October 2022.
5. The practising certificate fee (PCF) application should have been submitted to the LSB following the October meeting of the CRL Board. However, the Chief Operating Officer was unable to finalise the application in time for that meeting as CILEX had not provided the financial information required to complete the application. The information was received on 18 October and the CRL Chair reviewed the application and approved it on behalf of the CRL Board. The application will be submitted once CILEX has completed its governance processes.

#### Consultation

6. The consultation on whether CRL should seek Higher Rights for suitably qualified and competent CILEX members has been published. It closes in January 2023.

#### **Transparency and CMA work**

7. CRL continues to progress work to bring CILEX-ACCA Probate firms into compliance with transparency requirements. This has been predominantly by email, supplemented by personal contact where additional support is required.
8. Representatives from CRL attended a meeting by the SRA on the evaluation of the pilot on 'unbundling' legal services. CRL understands that the final report will be published towards the end of 2022 and expects to use the findings to inform its own work on consumers.
9. The joint SRA, CLC and CRL 'Quality Indicators' (QI) pilot evaluation paper has been drafted. CRL will provide feedback ahead of the next meeting of the working group scheduled for early November 2022.
10. CRL attended the Legal Services Consumer Panel's roundtable event on monitoring and evaluation. Useful insights were provided by the SRA, LSB, the Civil Aviation Authority and the Competition and Markets Authority, all of which will be valuable for CRL's transparency evaluation work. The importance of establishing an effective learning and evaluation culture within organisations was emphasised.
11. Collaboration with the SRA, BSB and Office of the Immigration Services' Commissioner on PLE work is taking place to improve information on immigration services for consumers. Testing will shortly commence with

consumers on a draft immigration leaflet. A potential project with Refugee Action and the SRA was paused to consider an application for funding. Although the application was not feasible, the work will still be taken forward at the end of 2022.

12. In September, the LSB sent out an invitation to tender to undertake work on a “Proof of Concept” study on a Regulatory Information Service (formerly single digital register). The LSB received no interest in the project and is now considering next steps.

## **Staffing and Operations**

### **Staffing**

13. The new administrator in the practitioner team took up his appointment on 3 October 2022.
14. From 1 October 2022, the Digital Engagement and Communications Officer’s position was increased to full time.
15. On 24 October 2022, the Personal Assistant to the CEO, Chair and Executive Team returned from maternity leave. The Interim PA’s contract finished on 31 October. We thank her for her excellent contribution to CRL since her appointment on 19 April 2022 and are pleased that she has agreed to undertake a second interim contract as an Executive Project Administrator until 31 December 2022.
16. The permanent Chief Executive, Carilyn Burman, will be returning from leave on 3 January 2023. Meetings have been arranged with the Interim Chief Executive in November and December to ensure a smooth handover. The Interim Chief Executive’s final working day before she takes leave for Christmas will be 9 December 2022.
17. CRL’s offices will be closed for the Christmas break from 12 noon on 23 December 2022 until 8.45 a.m. on 3 January 2023.

### **CRM update**

18. The Chief Executive and Chief Operating Officer continue to hold weekly meetings with the CILEX Project Co-ordinator to discuss new developments for the CRM, although these meetings have been subject to cancellations recently owing to annual leave and conflicting commitments. Fortnightly meetings with the Director of IT have also been reinstated to discuss implementation of existing projects. Progress across all areas continues. Current projects are summarised below:
  - CILEX has stopped all work for CRL on CILEX Learn (the platform to enable WBL portfolio submissions) because of concerns that the platform will not support what is required for CRL. The CILEX Project Co-ordinator is investigating other options and will provide an indication of development costs.
  - Because of the complications with CILEX Learn, it appears that online applications to replace the current paper system will not be possible. The

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- The risk matrices became 'live' in the second week of October. However, an issue was identified which had not been previously tested. CRL subsequently worked out a way to fix the problem with the developer to enable risk scores to be displayed for all CILEX members.
- Work on the Entity Directory continues to enable it to meet LSB requirements. Following the introduction of ACCA firms, additional changes have been needed. The process has taken longer than anticipated as CILEX's outside contractor is responsible for these amendments (rather than CILEX staff). CRL continues to raise the matter with CILEX's Director of IT.
- Data migration for enforcement continues to be on hold at present as the Enforcement Team has prioritised more urgent projects.

### Shared Services

19. CRL is still awaiting the final schedule from CILEX on shared services for 2022. The draft schedule for 2023 was queried by the CRL COO and a meeting with the CRL CEO, CRL COO and the CILEX CEO took place on 3 October 2022. At this meeting, the CILEX CEO agreed that the changes proposed by the CRL COO (i.e., removal of the pre-payment charge for access to the CRL developers, the charge for bad debt collection and an increase to the headcount to include the CRL Board members for all shared services budget lines) were agreed, subject to payment by CRL for Board payroll and training. This is likely to reduce the charge to £183,000 with the difference in the budget to be used for ad hoc access to the CRM developers.

### Stakeholder engagement

#### Communications

20. Since the last Board meeting, CRL has run the following campaigns:
- a. Consultation on the draft chartered legal executive Level 6 occupational standard
  - b. Consultation on an application to authorise CILEX practitioners with litigation and advocacy rights for Higher Rights of Audience
  - c. Recruitment for a non-executive director for the Board and a PAS team administrator
  - d. Reminders of CPD final deadline
  - e. Promotion of the importance of data collection in relation to 2023 renewals and personal data submissions ('Prefer Not to Say' initiative)
  - f. Publication of the Chair's update.
  - g. Promotion of ULaw assessment dates
  - h. Promotion of LSB Reshaping Legal Services conference
  - i. Focus on World Mental Health Day with Lawcare
21. The Policy and Stakeholder Engagement Team also provided support to the Chief Executive Officer and the Chief Operating Officer for:
- a consultation on the future of regulation (currently on hold)
  - a press statement in response to the LSB's investigation announcement
  - the AML report

22. Work has commenced on other projects including:

- **Promotional video** – an agency has now been appointed and production activities will commence at the end of October
- **PNS campaign for member renewals** – the campaign to reduce the number of ‘Prefer Not to Say’(PNS) responses in the data collected through the CRM during renewals has started
- **Website audit** – a review of the content on the consumer pages will commence at the end of October.

### Reach and Impact

23. Since the last Board meeting, CRL’s communication channels have continued to perform well with steady growth across our main platforms including the CRL website, LinkedIn and Twitter.

### Consumer engagement

24. To increase engagement on the consumer area of the website, CRL has been running regular social media. Comparing page visits for the campaign so far (July-Sept 2022), to the previous five months, there has been a definite increase in visits across the majority of our consumer-related pages. We aim to increase engagement further with the production of a CRL video and an audit of existing consumer-related website content. We are also exploring additional social media platforms such as Facebook.

### Newsletters and publications

25. The *Regulation Matters* newsletter (Renewal Special), sent on 30 September 2022, was opened by 59% of recipients. The CRL newsletter was opened by 47% of recipients (well-above 15-25% industry standards).
26. The CILEx Journal Autumn Edition published on 13 October 2022 included two features from CRL: *Membership renewal 2013 – what you will be asked and why* and *Assuring ongoing competence*

### Public Relations

27. An article on the role of the regulator in increasing diversity and inclusion in the legal profession, written by the Director of Governance, was published as part of the media relations programme agreed with KysenPR (<https://www.newlawjournal.co.uk/content/diversity-regulating-for-change>).
28. CRL issued a press released following the LSB statement about its investigation into the dispute between CILEX and CRL. The matter was reported here:
- Legal Futures - [LSB launches investigation into dispute between CILEX and its regulator](#)
  - Law Gazette - [Super-regulator to probe CILEX civil war](#)

29. The following is a summary of CRL's communications' engagement and reach since the last Board meeting:

Table 1

Channel	1 Sept – 24 October	Comparison with Jul/Aug	Highest engagement
CRL Website	Users: 15,035  Sessions: 26,374	Users: 8,006  Sessions: 13,646	Top 3 pages:  1. Practitioners' directory 2. Week by week schedules 3. CPD page
LinkedIn followers	3,958	3,870	Posts with the highest engagement:  1 Important new research from @LegalServicesCP 2 We enjoyed some inspiring and thought-provoking talks from a diverse range of speakers at yesterday's <a href="#">#reshapinglegal services</a> conference. 3 Great to be attending the much anticipated <a href="#">Legal Services Board's</a> , Reshaping Legal Services Conference today.
Post engagement*	3.05%	3.52%	
Twitter followers	1,609	1,596	Tweets with highest engagement:  <ul style="list-style-type: none"> <li>Legal Choices look up dictionary</li> <li>Tell 10 Mental Health Awareness Day</li> <li>HM Queen Elizabeth II</li> </ul>
Post engagement**	2.6%	2.2%	
Regulation Matters <a href="#">website</a>	Users: 1,305  Sessions: 1,405	Users: 674  Sessions: 738	Top 3 pages <ul style="list-style-type: none"> <li>Home page</li> <li>Declare Prior Conduct</li> <li>Independent Practice Rights Now feature</li> </ul>

\*Industry standards: 2% and above is considered good engagement

\*\*0.33 to 1% is considered very high

### External meetings

30. Since the last Board meeting, members of the Executive team have attended thirty external meetings with various key stakeholders.

### Recommendation

31. The Board is asked to **NOTE** the Chief Executive's Report.