

Date	9 May 2023
Item	Strategy Item 4
Title	KPIs and Assurance
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Purpose	This report provides the Board with a review of possible metrics which can be associated with the LSB's regulatory performance assessment criteria. It also provides a proposal for the next stage of the KPI review on operational performance reporting at CRL.
Recommendation	To DISCUSS the proposals in the report.
Timing	N/A
Impact assessment	None
Impact on Regulatory Objectives	Monitoring operational performance of the organisation ensures that CRL is able to meet the regulatory objectives, in particular: protection of the public and consumer interest, access to justice, promoting competition and encouraging an independent, strong, diverse and effective legal profession.
Implications for Resources	Monitoring operational performance can ensure early resourcing issues are identified and managed.
Impact on Consumer Empowerment	No direct impact.
Impact on Ongoing Competence	No direct impact.
Appendices	4.1 LSB Sourcebook with CRL RAG ratings
Publication Status	TBC

Background

1. At its February meeting, the Board requested that CRL review the LSB Sourcebook which supports the revised Regulatory Performance Assessment of frontline regulators and identify Key Performance Indicators (KPIs) that could be used by the Board to provide 'at a glance' assurance of CRL's compliance, as well as enabling the Board to identify areas that may require attention.
2. This paper provides proposals to meet this request and at the same time, CRL has taken the opportunity to review its operational KPIs and to propose revisions for future reporting.

Operational KPIs

3. At the February Board meeting, it was agreed that the Balanced Scorecard performance data presented within a lengthy spreadsheet would be reformatted and simplified.
4. Agreed key data is now reported as part of the CEO Report.

5. The data remaining from the original spreadsheet has been reviewed, and revised KPIs for operational performance have been proposed. These will form part of the Director of Operations' Report from the July Board meeting.
6. The proposals are set out in the tables below.

Note, blue shading indicates this data is provided in the CEO report and grey shading indicates that the data will be removed from Board reporting, although it will in many cases be monitored at executive level, with reporting by exception if required. The white boxes indicate KPIs which will be reported to the Board for each operational area within the Director of Operations' report.

Practitioner Authorisation:

		Notes
Qualifying experience	No. new applications	Remove – reported in BSC report
	Av. no. weeks to overall decision	Keep and include target of 8 weeks (aim 95%)
	% QE decisions made by ALC	Keep and reduce target to 10% owing to change in the QE rules
	% 1st assessments w/i 20 working days (aim 85%)	Remove from reporting, monitor at executive level
	% 1st time decisions (aim 50%)	Remove from reporting, monitor at executive level
	% decisions w/i 8 weeks (aim 95%)	Remove from reporting, monitor at executive level
	% completed w/i 2 rounds of assessment (aim 95%)	Remove from reporting, monitor at executive level
Work-based learning	No. new applications	Remove – reported in BSC report
	No. authorisations	Keep and include apprentice numbers here
	Av. no. weeks to overall decision	Keep and include target of 16 weeks (aim 95%)
	Av. no. resubmissions per application	Remove from reporting, monitor at executive level
	% 1st assessments w/i 25 working days (aim 85%)	Remove from reporting, monitor at executive level
	% 1st time decisions (aim 50%)	Remove from reporting, monitor at executive level
	% decisions w/i 10 weeks (aim 95%)	Remove from reporting, monitor at executive level
	% completed w/i 2 rounds of assessment (aim 95%)	Remove from reporting, monitor at executive level
	No. CLE Apprenticeship applications	Remove from reporting, monitor at executive level
	No. CLE Apprentices authorised	Remove from reporting, monitor at executive level
Practice Rights	No. practice rights holders	Remove – reported in BSC report
	No. new applications	Remove – reported in BSC report
	No. authorisations	Keep
	Av. no. weeks to overall decision	Keep and include target of 16 weeks excluding waiting for advocacy course (aim 95%)
	Av. no. resubmissions per application	Remove from reporting, monitor at executive level
	Total no of CILEX Practitioner (ACCA-Probate)	Keep

	No of CILEX Practitioner (ACCA-Probate) via course	Remove from reporting, monitor at executive level
Advocacy	No. advocates	Remove – reported in BSC report
	No. new applications	Remove – reported in BSC report
	No. authorisations	Keep
	Av. no. weeks to overall decision	Keep and include target of 16 weeks excluding waiting for advocacy course (aim 95%)
	Av. no. resubmissions per application	Remove from reporting, monitor at executive level

Practitioner Supervision

CPD non-compliance (CPD year 2021/22)	Fellows	Keep
	Graduates	Keep
	Fellows/Graduates with WBL reduction	Keep
	Associates	Keep
CPD non-compliance (CPD year 2022/23)	Fellows	Keep
	Graduates	Keep
	Fellows/Graduates with WBL reduction	Keep
	Associates	Keep

Entity Authorisation

Applications	No. authorised entities	Remove – reported in BSC report
	No. applications at pre-authorisation stage	Remove from reporting, monitor at executive level
	No. applications at provisional authorisation	Remove from reporting, monitor at executive level
	No. applications granted full authorisation in month	Remove – reported in BSC report
	No. renewals authorised	Remove – reported in BSC report
	Av. no. weeks to decision (application)	Keep and include target of 16 weeks* except for ABS which has a statutory target of 4 weeks
	No. Entity complaints	Remove from reporting, monitor at executive level
	No. ABS	
	No of CILEX-ACCA Entities (applications pre-auth)	Remove from reporting, monitor at executive level
	No of CILEX-ACCA Entities authorised	

Intervention and compensation claims

To be reported by exception (CRL has never had a claim).

Misconduct

Misconduct	No. new complaints	Remove – reported in BSC report
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- Total number of complaints received (since Jan 2020)	Remove
% outcome of complaints	Remove – reported in BSC report, although as a number rather than a percentage
- % not proceeded with	Remove from reporting, monitor at executive level
- % rejected (Delegated Decision)	Remove from reporting, monitor at executive level
- % determination by consent (Delegated Decision approved)	Remove from reporting, monitor at executive level
- % referred direct to DT (Delegated Decision)	Remove from reporting, monitor at executive level
Initial Assessment 100% in 1 month (figures show total with an initial assessment completed)	Keep
Av. no. weeks to delegated decision	Remove from reporting, monitor at executive level and replace with new KPIs below
Av. no. weeks to disposal by PCP	Remove from reporting, monitor at executive level and replace with new KPIs below
Target: Initial Outcome 80% in 9 months	Remove from reporting, monitor at executive level and replace with new KPIs below
Target: Initial Outcome 100% in 12 months	Remove from reporting, monitor at executive level and replace with new KPIs below
Av. no. weeks to disposal by DT	Remove from reporting, monitor at executive level and replace with new KPIs below
Target: PCP to DT 65% in 6 months	Remove from reporting, monitor at executive level and replace with new KPIs below
Target: PCP to DT 100% in 9 months	Remove from reporting, monitor at executive level and replace with new KPIs below
No. of complaint files live	Keep
No. of cases on hold	New
Age of oldest live complaint in weeks (excluding on hold)	Keep

Prior conduct

Prior conduct	No. of new declarations	Remove – reported in BSC report
	Outcome of complaints	Remove – reported in BSC report
	No. of cases disposed by delegated decision	Remove from reporting, monitor at executive level and replace with new KPIs below
	Av. no. of weeks to delegated decision	Remove from reporting, monitor at executive level and replace with new KPIs below
	Av. no. weeks to disposal by PCP	Remove from reporting, monitor at executive level and replace with new KPIs below
	No. of prior conduct files live	Keep
	No. of cases on hold	Keep
	Age of oldest live prior conduct file in weeks (excluding on hold)	Keep