

## 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<br><i>Develop revised entity regulation proposal</i> | Increased applications and regulated firm numbers to rebalance Fellow PCF to non-Fellow PCF proportions<br><br><i>Links to financial performance measure in BSC</i><br><br><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><br><br><u>Stakeholder engagement (comms plan) – LSB and prospective regulated community</u><br><br><u>Rule change application (links to operational plans for implementation)</u> | TBC – dependent on outcome of CILEX review.<br><br><br><br>TBC | CEO, DoO (GP)<br><br><br>PC<br><br><br>CEO & DoO | CEO                 |                  |

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| 1.2 | Review regulatory model<br><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>  | <b>Review of legal landscape</b><br>Commission research to explore the legal services landscape to understand gaps in the regulatory market from the perspectives of the regulated community and consumers.<br><br>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<br><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<br><br>Recommendations for change presented to CRL Board<br><br>Publish guidance from Russell-Cooke on litigation  | Dependent on outcome of CILEX review.<br><br>March 2024<br><br>July 2024<br><br>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<br/><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 &amp; 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<br>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<br/>DoG, DoO (SO)</p> <p>Collaboration with LSB and front-line regulators</p> | DoG                 |                  |

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| 3.2 | Risk-based enforcement<br><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<br><br>Consultation analysis<br><br>Proposals developed and agreed with Board<br><br>Proposals submitted to LSB     | Q1 2024<br><br>Q2 2024<br><br>Q3 2024<br><br>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<br><br>Consultation analysis<br><br>Proposals developed and agreed with the Board<br><br>Proposals submitted to LSB | Completed  | CEO<br><br>CEO<br><br>CEO<br><br>CEO | CEO                        |                         |

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| <b>ENHANCING THE INFORMATION AVAILABLE TO CONSUMERS TO IMPROVE ACCESSIBILITY TO LEGAL SERVICES</b> | <b>Total Budget: £127,373</b> |
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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><br><br>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<br><br>Quality Indicators Pilot evaluation completed and implementation action plan in place | Regulatory Information Service live<br><br>Actions agreed<br>Actions implemented | <u>MTCOG subgroup</u><br>- Cost/benefit analysis<br>- Product live<br><br><u>Improving access to regulatory information</u><br>- Review quality indicators pilot<br>- Agree cross-regulator actions<br>- Implement changes | Lead by LSB, CRL will engage as required.<br><br>Q1 2024 | CEO, (SC)<br><br>Staff time<br>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"> <li>- Effectiveness of existing rules (e.g., should they be more prescriptive)</li> <li>- Extension to other areas of practice</li> <li>- Extension of information provided by firms (e.g., mix of staff, outcomes from QI pilot etc.)</li> <li>- Extension to regulated individuals</li> <li>- Provision of information to assist consumers in finding legal representation (e.g., digital comparison tools)</li> </ul> | 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<br/>DoO<br/>SC, GP</p> <p>DoG<br/>(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                 |                  |

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| <b>CHAMPIONING FAIR ACCESS FOR ALL IN THE LEGAL SERVICES MARKET</b> | <b>Total Budget: £127,373</b> |
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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  |        | <ul style="list-style-type: none"> <li>(i) Renewed EDI campaign reporting of learnings at CRL Entities Event, including discussion of EDI at CRL Entities Event</li> <li>(ii) review outcomes of soft EDI engagement with CRL entities</li> <li>(iii) publish a second report of progression data</li> </ul> | Dependent on outcome of CILEX review    | CEO, DoG, DoO (GP, SC)<br><br>CEO, DoG, DoO (GP, SC)<br><br>SC | DoG                 |                  |
| 8.1 | Use data effectively<br><br>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"> <li>- Cross-qualification to become a solicitor</li> <li>- Leavers</li> <li>- Review and implementation of LSB's research into solutions for counter inclusive practices</li> <li>- Monitoring CPQ EDI data</li> </ul>           |               | benchmark progression data<br>(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 | Research commissioned and findings analysed<br><br><i>Research linked to with other strategic objectives:</i> <ul style="list-style-type: none"> <li>- Standards, and Consumer</li> </ul> CRL is participating in cross-regulator research into digitally exclusion |               | (i) Initial research and scoping<br><br>(ii) Outreach to other regulators and stakeholders to identify areas where we can make a difference | Completed<br><br>Q2 2024 | £Budget required<br><br>+<br><br>DoG (SC) | DoG                        |                         |