



Law Society
of Scotland



International
Conference of
Legal Regulators

Workshop E1: Complaints models: What does good look like?

Moderator: David Lee

Neil Stevenson, Chief Executive, Scottish Legal Complaints Commission

Cori Ghitter, Deputy Executive Director and Director, Professionalism and Policy Law Society of Alberta

Paule Armeneau QC, Director of Regulation and General Counsel, Law Society of Alberta



Early Intervention in Alberta

A proactive approach to complaints

Cori Ghitler

Deputy Executive Director & Director of Professionalism and Policy

Paule Armeneau QC

Director of Regulation and General Counsel



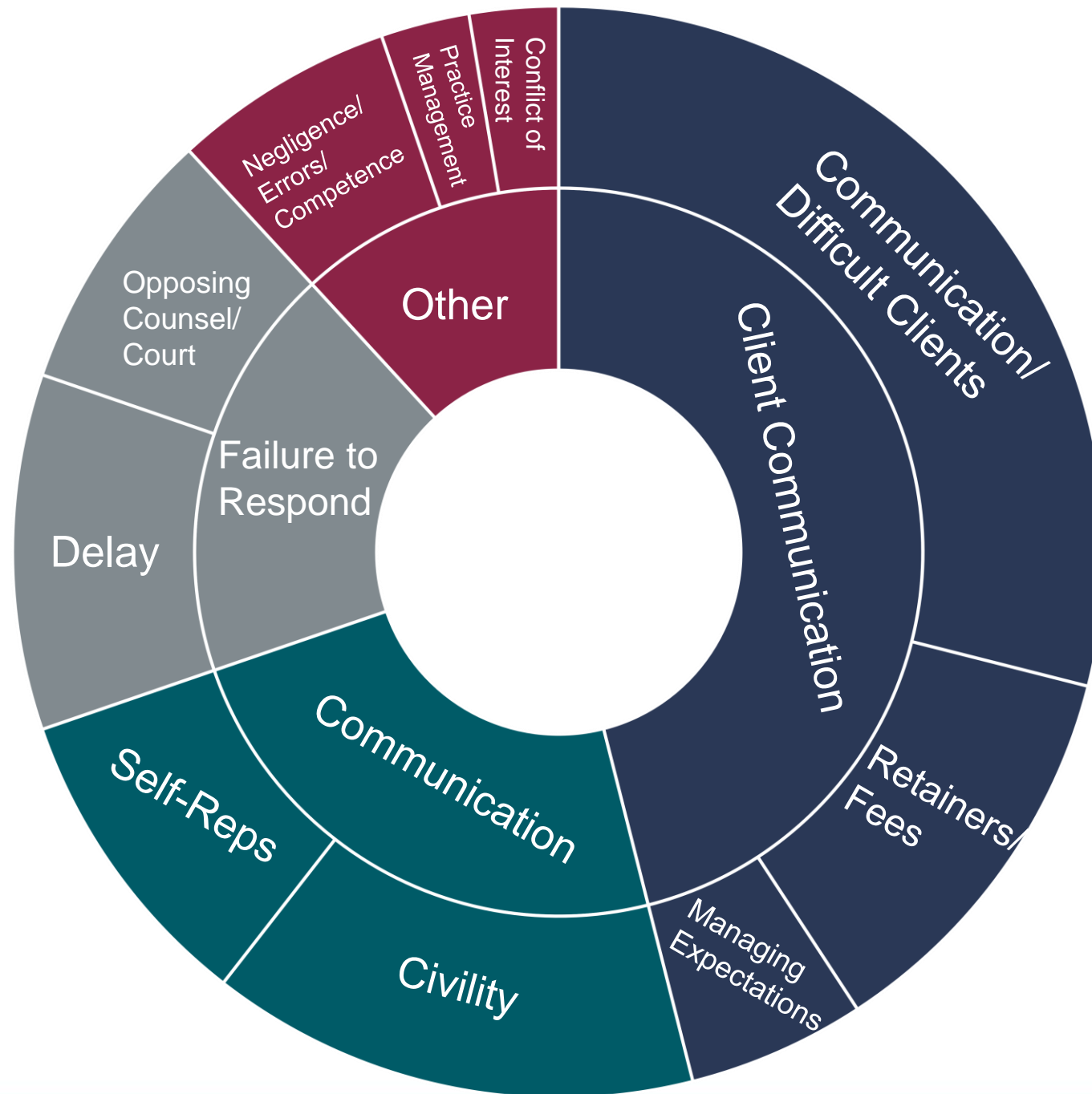
LAW SOCIETY
of ALBERTA

Agenda

- The Case for Change
- Goals
- How it Works
- Measuring Impact
- Education and Collaboration

A hand is shown in the process of drawing a large yellow star on a dark, textured black surface using a piece of yellow chalk. The star is positioned on the right side of the frame. In the background, several white arrows are drawn, all pointing towards the yellow star. The arrows are of varying sizes and are slightly out of focus, creating a sense of depth. The overall composition suggests a goal or a target being pursued.

Shift to Proactive Approach



1

PROACTIVE ORGANIZATIONAL FRAMEWORK



Create a proactive organizational framework at the LSA that allows the organization to identify lawyers at risk.

2

BUILD RESILIENCE



Develop resources to assist those lawyers in building resilience, improving competency, consistently delivering quality legal services and, ultimately, avoiding complaints and mitigating loss.

3

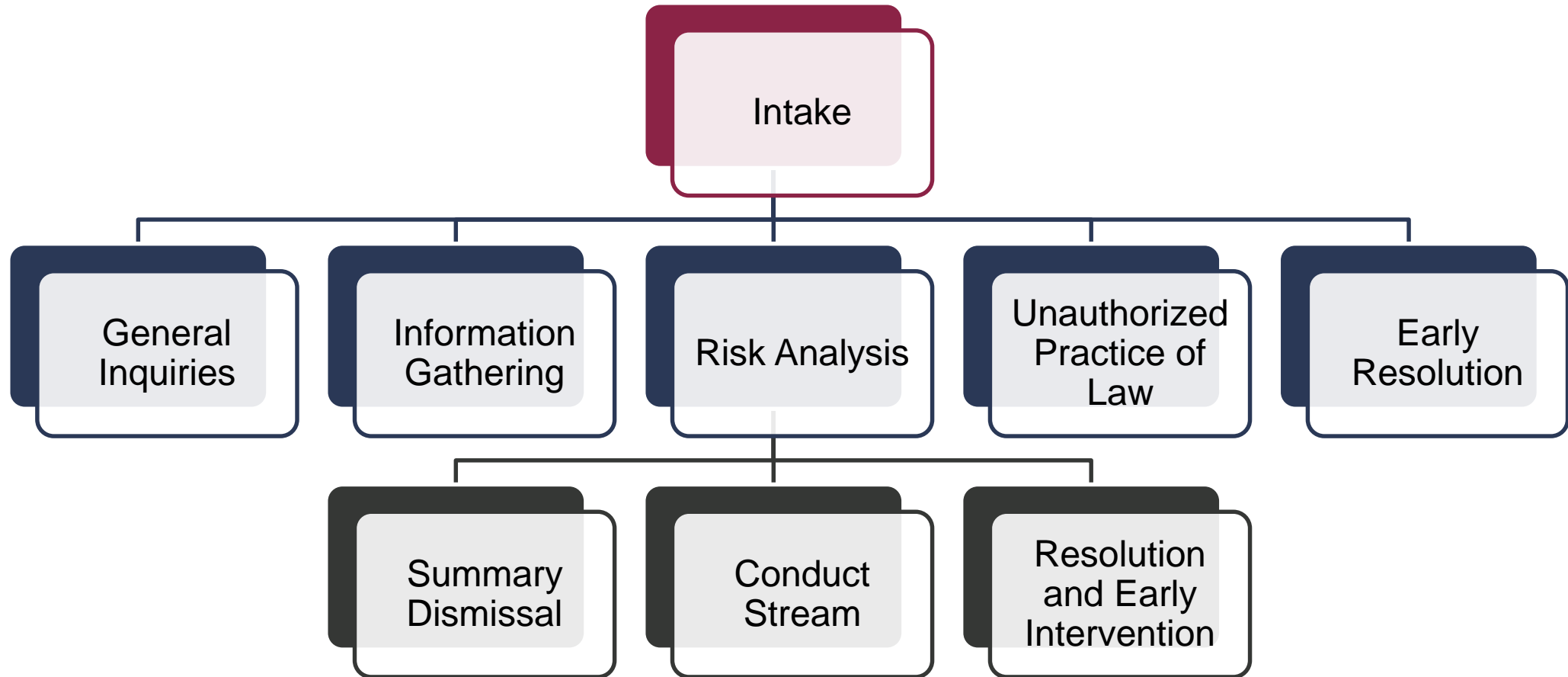
IMPROVE ACCESS TO JUSTICE



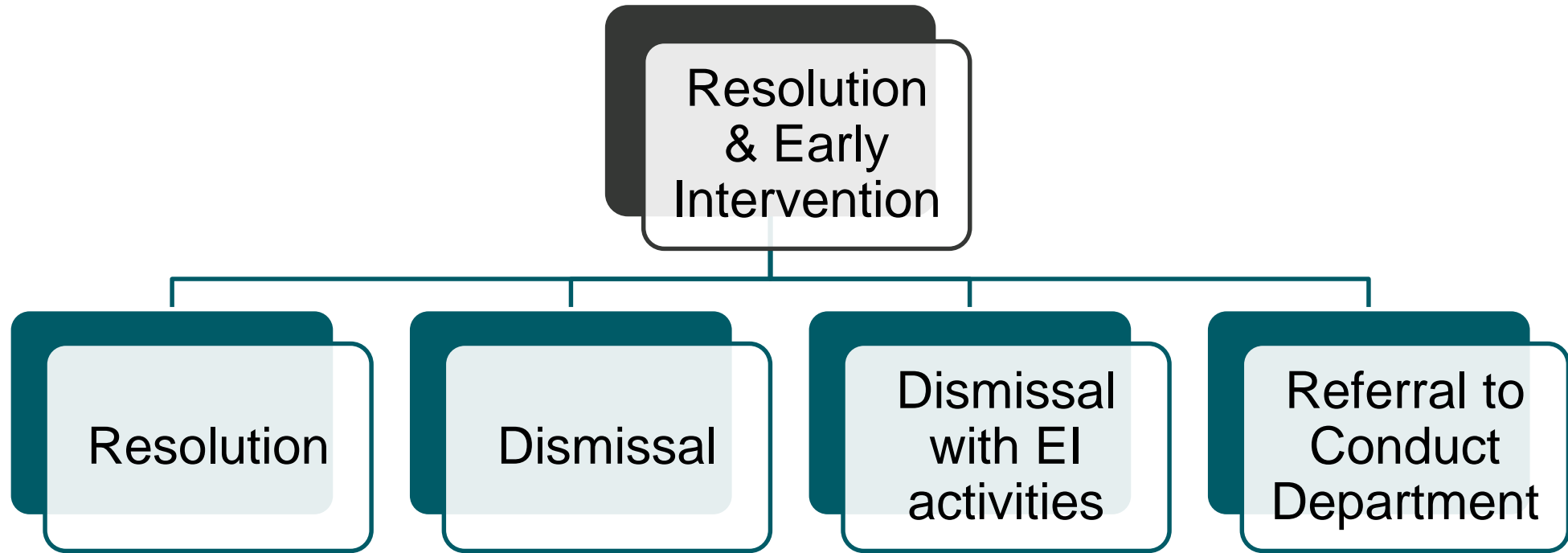
Improve access to justice for Albertans by providing support to lawyers, in particular sole practitioners and lawyers in small and rural firms, who are best situated to address unmet legal needs.

triage
change
intake
resolution
culture
complaints
behaviour
education
risk
coaching
protect
public

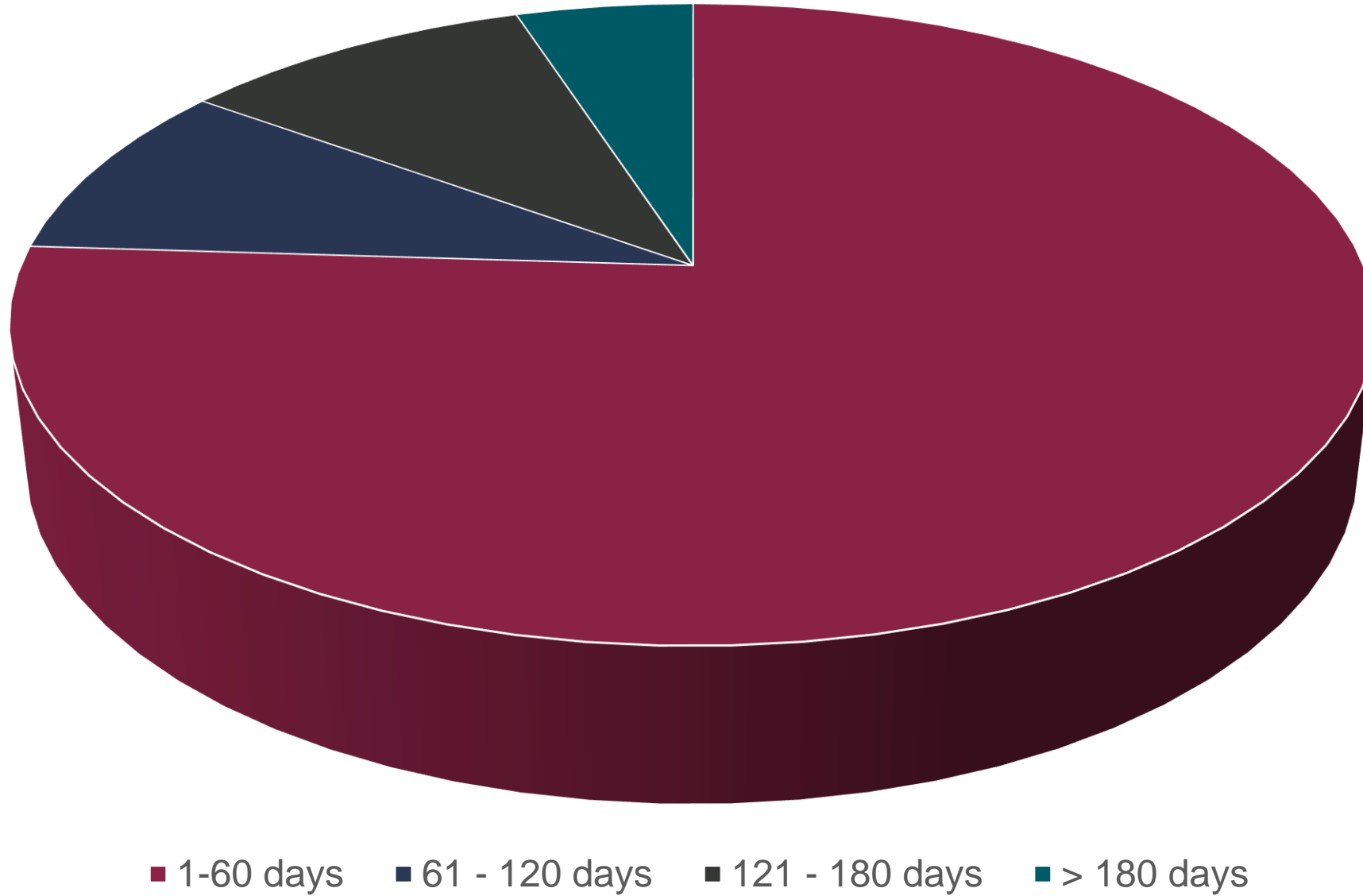
INTAKE PROCESS



REI REVIEW PROCESS



Referral to Conduct Stats (Q2)



Small Firm Practice Course

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- ▶ [4 Trust Filings and Other Rules](#)
- ▶ [5 Taxation and Employee Deductions](#)
- ▶ [6 GST](#)
- ▶ [7 Client Identification and Verification](#)
- ▶ [8 Retainers](#)
- ▶ [9 File Retention and Disposal](#)
- ▶ [10 Coverage During Absence](#)
- ▶ [11 Conflicts](#)

Disclaimer

The information contained in these modules, including any reference to websites, appendices or links, has been prepared to assist lawyers to develop or refresh their practice skills. Given the changing nature of both the law and practice, lawyers should exercise their own skill and professional judgement when using the content. It is the responsibility of the lawyer to refer to the most current statutes, regulations and directions, as well as the most recent case law and any other appropriate sources. These materials do not provide legal advice and should not be relied on as, or instead of, legal advice.

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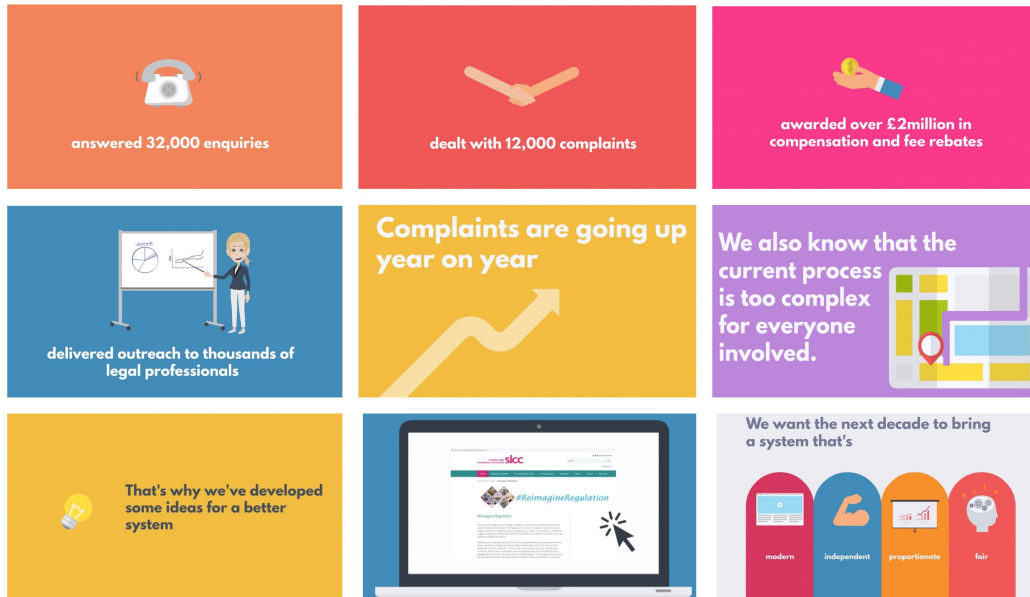
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Good, Great, & Getting there

Aspirational reform to better serve the profession and public



The present complaints maze...

What are we trying to achieve?

What approaches enable it?

How do you design services?

Disruption and anticipatory regulation

What is being suggested in Scotland?



@StevensonLaw
@SLCCcomplaints

#ReimagineRegulation

scottish legal complaints commission **slcc**



answered 32,000 enquiries



dealt with 12,000 complaints



awarded over £2million in
compensation and fee rebates

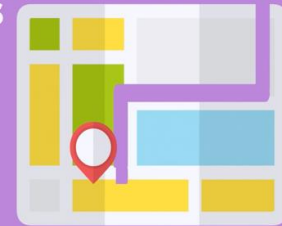


delivered outreach to thousands of
legal professionals

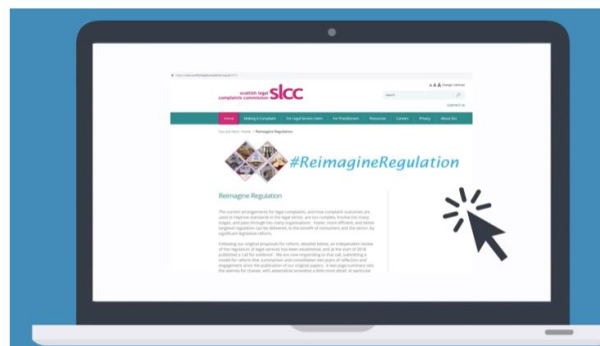
**Complaints are going up
year on year**



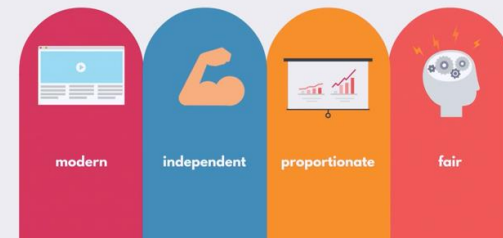
We also know that the
current process
is too complex
for everyone
involved.



That's why we've developed
some ideas for a better
system

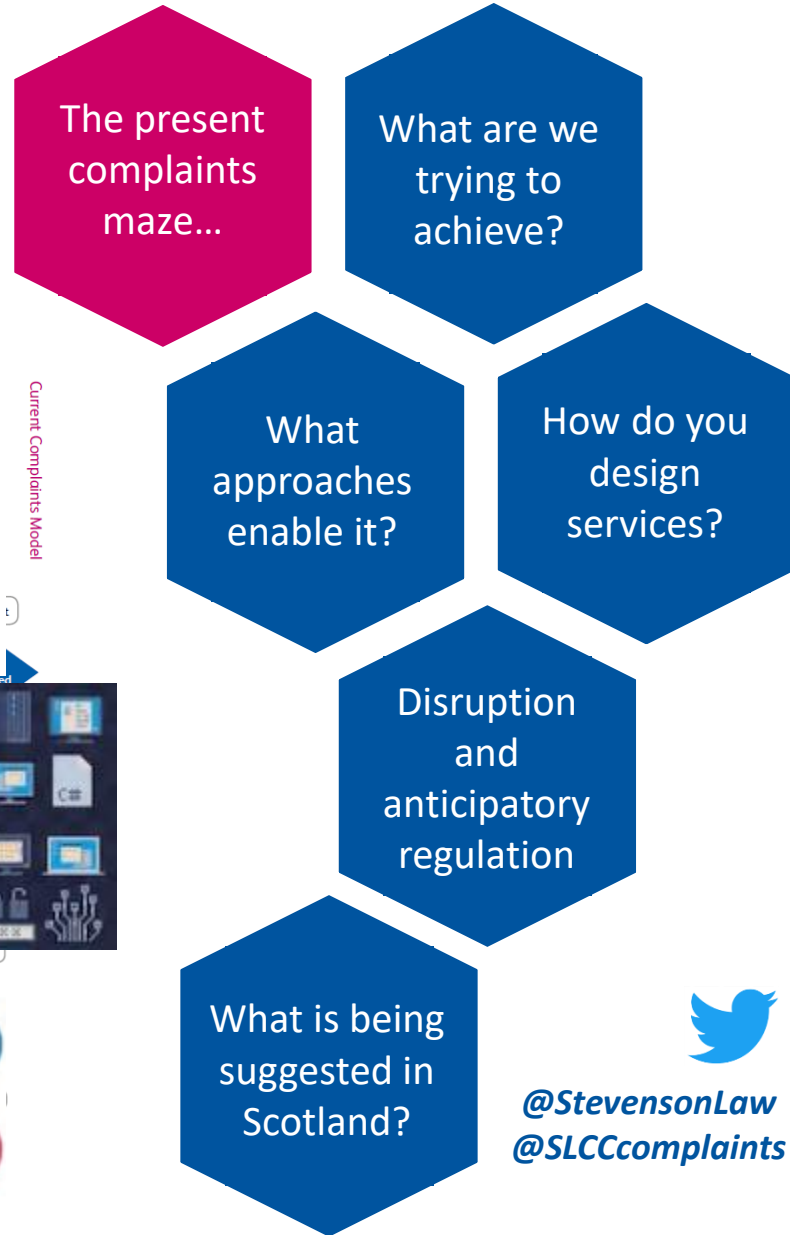


We want the next decade to bring
a system that's



Aspirational reform to better serve the profession and public

Aspirational reform to better serve the profession and public

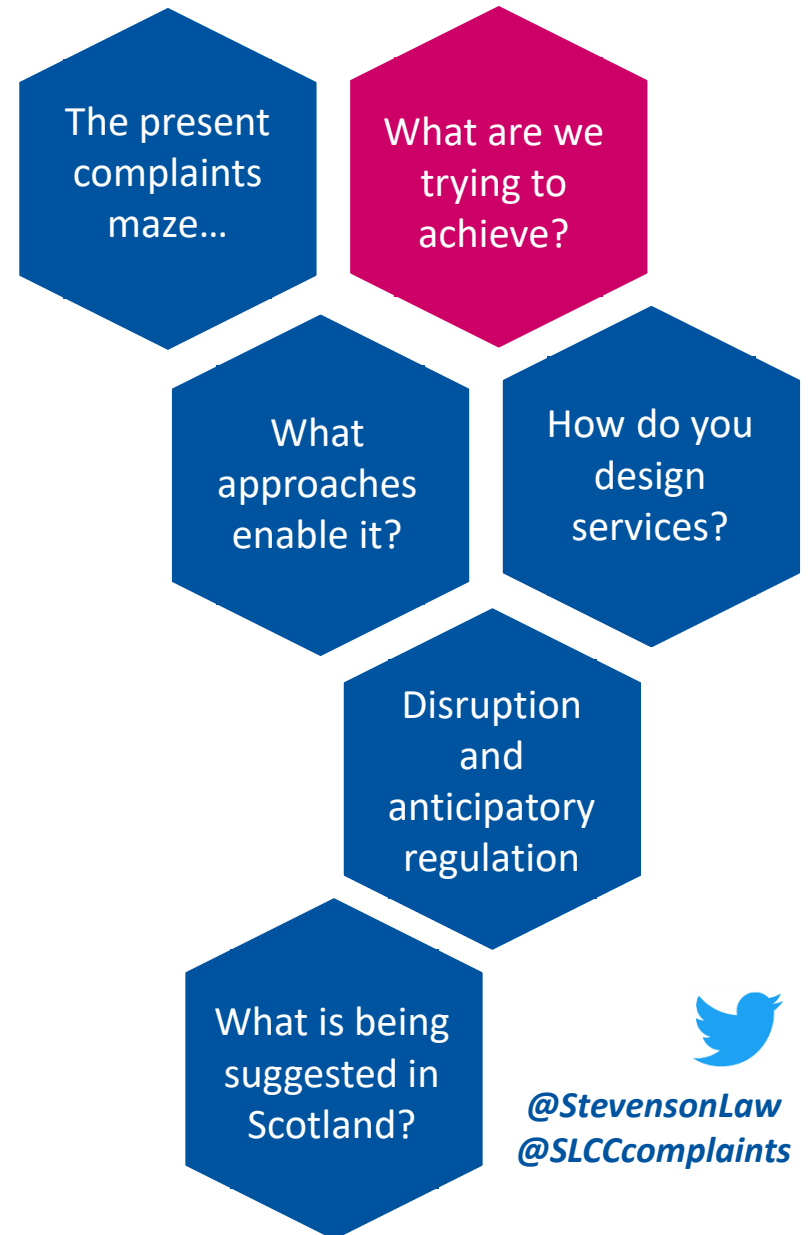



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Aspirational reform to better serve the profession and public

- Accessible
- Adaptive to parties
- Adaptive to different types of complaints
- Risk based
- Proportionate
- Restorative (and restoration delivered)
- A learning cycle
- Independent
- Balance of probabilities

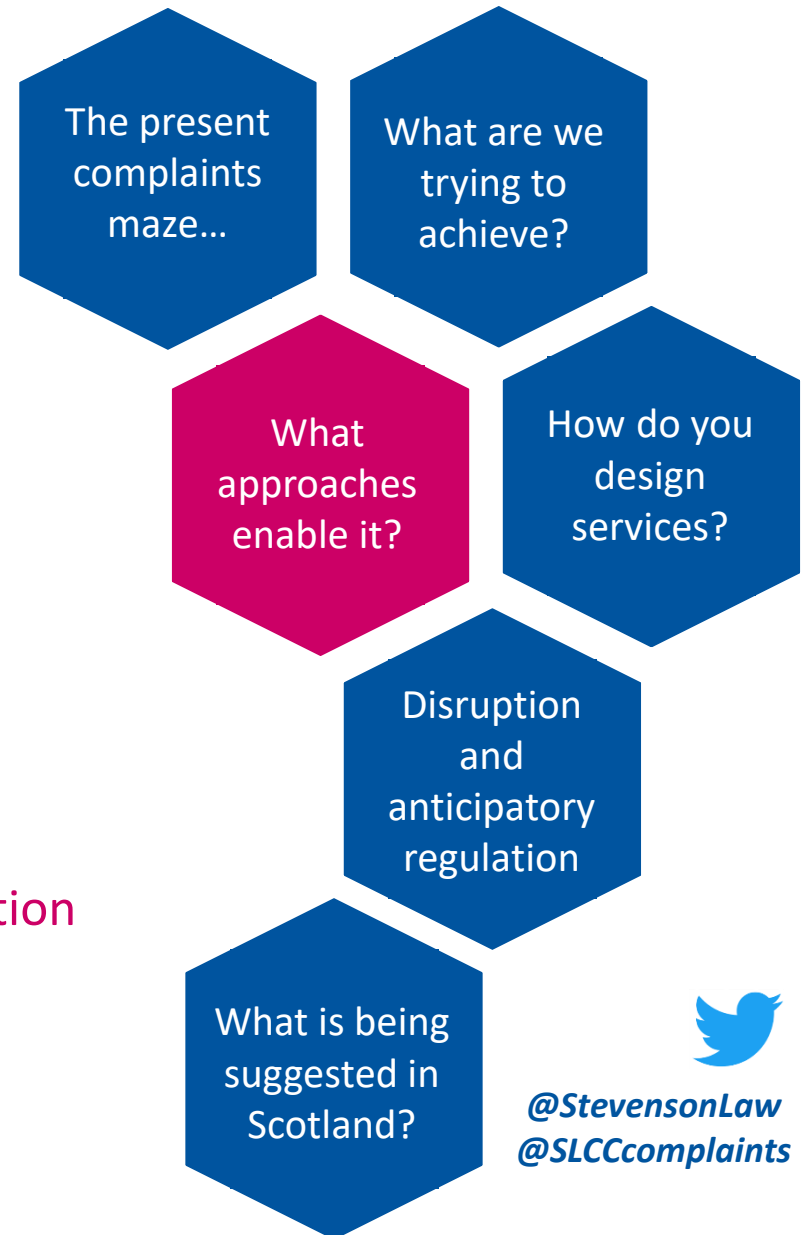


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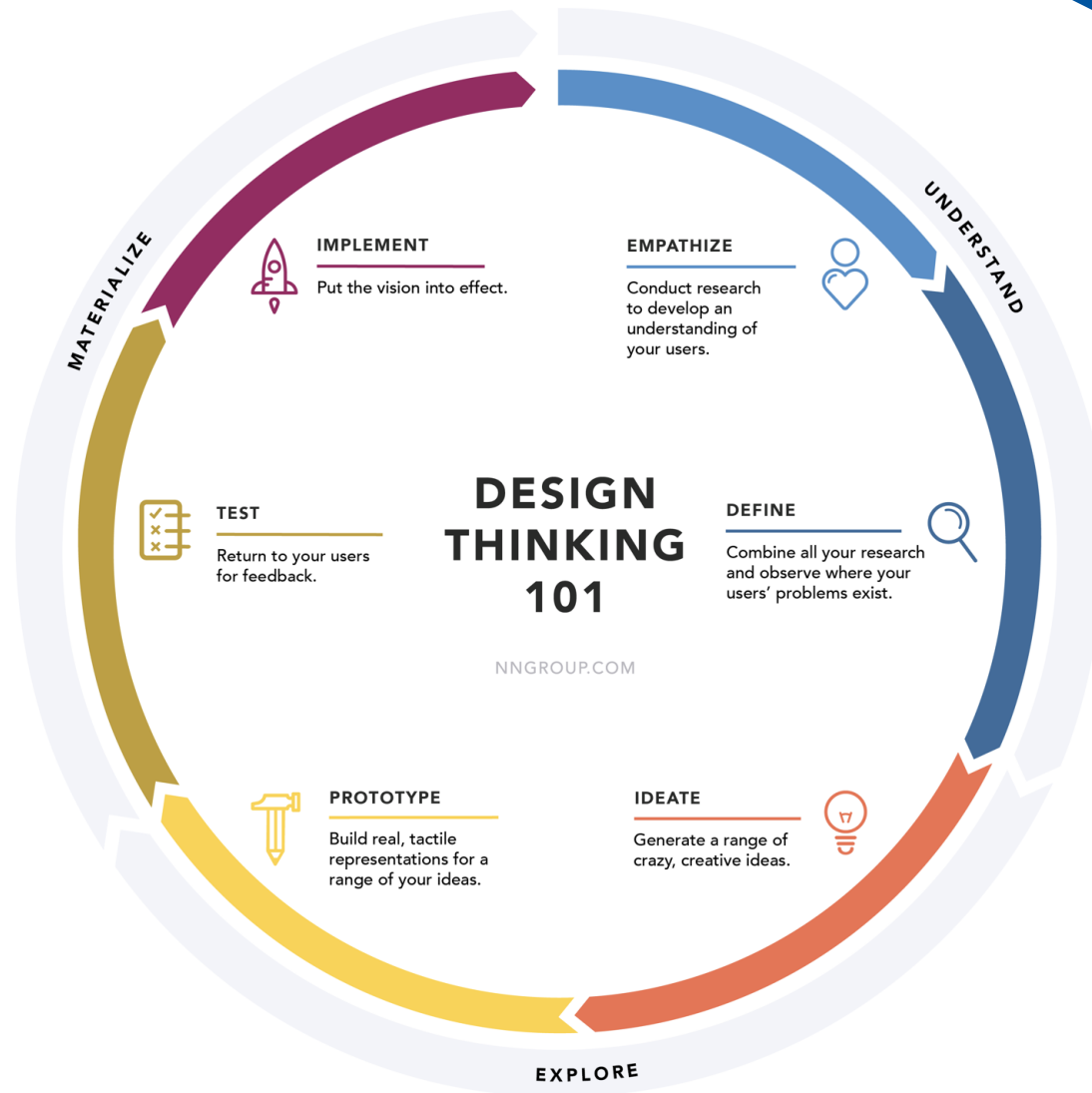
- Framework legislation
- Transparency
- Wide concepts of restoration and redress
- Wide concepts of investigation and audit
- Adaptive systems
- Consensual disposals - mediation and conciliation
- Wiki rules / wiki process
- Data sharing
- A single organisation



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The present complaints maze...

What are we trying to achieve?

What approaches enable it?

How do you design services?

Disruption and anticipatory regulation

What is being suggested in Scotland?

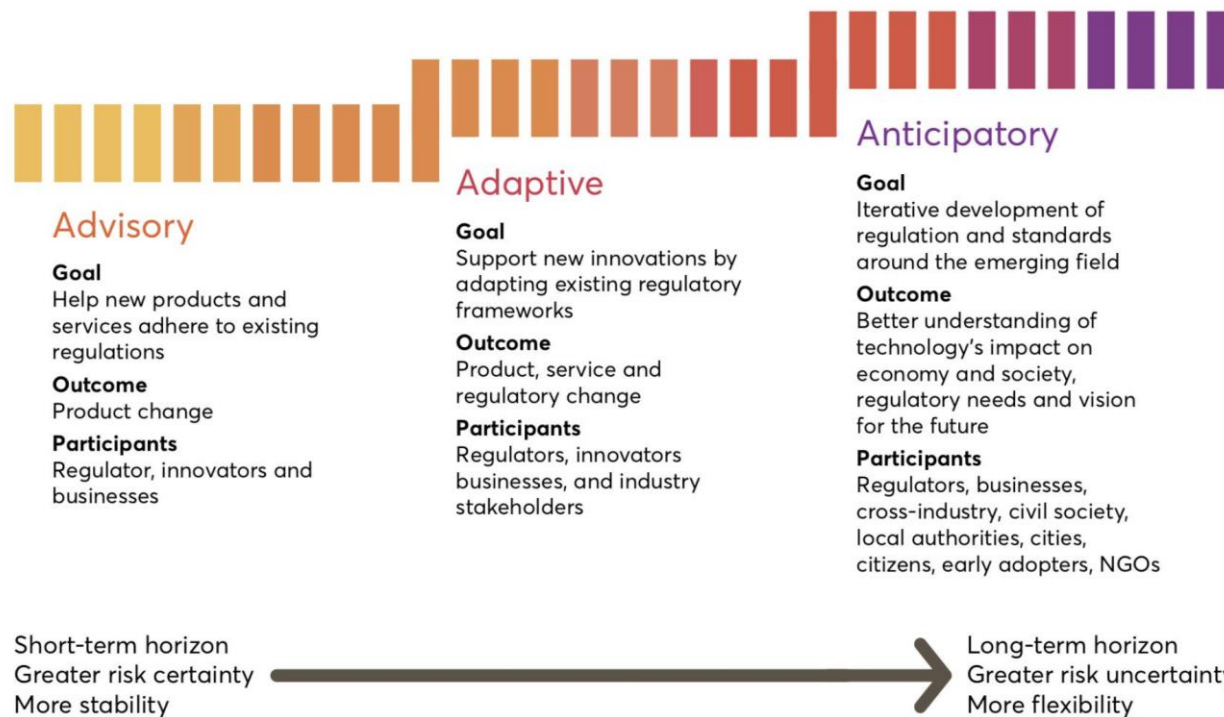


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Neil Alan Stevenson

Scottish Legal Complaints Commission

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