

## The Council for Licensed Conveyancers' (CLC) regulatory standards action plan

Based on the findings set out in *The Council for Licensed Conveyancers' regulatory standards report 2015/16*<sup>1</sup>, the LSB proposed actions for CLC's consideration. These are set out at Annex A to this document. The CLC's response to the LSB's proposed actions is set out in the table below<sup>2</sup>.

	CLC workstream	Objectives	Projected completion date
1	Evidence about Consumers	CLC has high quality, up-to-date and reliable evidence on what legal services consumers need and how they use the services. Specific actions: Work with other legal regulators on development and roll out of current projects, in particular client care letters.	TBA
2	Review of Regulatory Arrangements	As part of the review of the Regulatory Arrangements the CLC will ensure that it takes a 'first principles' approach, takes account of a robust evidence base and has adequate consumer focus. Specific actions to identify desired outcomes, how they will be measured, carry out an evaluation and report.	December 2017
3	Evaluation of its Monitoring and Supervision Risk Assessment Tools	CLC can demonstrate that outcomes for risk relating to regulated practices are being achieved. It will monitor and report whether changes to processes are having the desired effect on the quality of the CLC's risk assessment and supervisory actions. Specific actions to identify desired outcomes, how they will be measured, carry out an evaluation and report.	September 2017
4	Transparency	The CLC has a culture of improvement and transparency. The CLC will publish information about its regulatory processes and performance in a format which is easily understood and accessible. Information to be published: performance information, supervisory processes, targeted learning from supervisory activity with regulatory community, enforcement processes, Adjudication Panel decision making processes and certain governance documentation (subject to Council's approval). Determine desired outcomes from review of CLC website, how those can be achieved and measured.	June 2017
5	Evaluation of CRM	The CLC has a culture of transparency and improvement. The CLC will evaluate and report whether implementation of CRM is having the desired impact. Specific actions to identify desired outcomes, how they will be measured, carry out an evaluation and report.	December 2017

<sup>1</sup> Please refer to *The Council for Licensed Conveyancers' regulatory standards report 2015/16*, is available at [www.legalservicesboard.org.uk](http://www.legalservicesboard.org.uk).

<sup>2</sup> The CLC reformatted our suggested action plan to merge similar activities which had been highlighted under the different LSB regulatory standards requirements.

## Annex A - Actions proposed by LSB for CLC

LSB requirement	Proposed actions
<b>Outcomes-focused regulation</b>	
CLC has high quality, up-to-date and reliable evidence on what legal services consumers need and how they use the services.	1. <i>We are asking all regulators to consider what activities they could undertake to contribute to this requirement.</i>
CLC can demonstrate that outcomes are being achieved.	2. <i>We are asking all regulators to:</i> consider best practice from other regulatory regimes to find a mechanism to demonstrate that regulation is delivering the outcomes consumers expect and rules are having the desired impact.
CLC reviews and updates arrangements based on the evidence gathered.	3. As part of review of its Handbook, CLC should: <ul style="list-style-type: none"> <li>- ensure that it takes a ‘first principles’ approach (where appropriate)</li> <li>- take account of a robust evidence base to support any changes or decisions not to change aspects of their Handbooks or regulatory arrangements (including evidence held on the outcomes of its existing regulatory arrangements)</li> <li>- ensure that there is an adequate consumer focus in its review.</li> </ul>
	4. <i>We are asking all regulators to consider what activities they could undertake to contribute to this requirement.</i>
CLC has formal, structured, transparent, evidence-based approaches to the collection, identification and mitigation of current and future risks which inform all regulatory processes.	5. Monitor whether changes in approach to risk assessment, are having the desired impact.
<b>Risk</b>	
CLC can demonstrate that outcomes for risk are being achieved.	6. Monitor and report on whether changes to resourcing are having the desired effect on the quality of the CLC’s risk assessment and supervisory functions.
	7. Monitor and report on whether implementation of the customer relationship model is having the desired impact.
	8. Develop a way to monitor and assess whether risk-based approach is working in practice and achieving the expected outcomes. <i>(We are asking all regulators to complete this action.)</i>

LSB requirement	Proposed actions
<b>Supervision</b>	
CLC has a supervision policy that is carried out with reference to identified risks and is underpinned by an evidence base.	9. Act on recommendations of the CLC’s published report of analysis of targeted annual regulatory return, which identified that it should more closely focus on the standard of supervision provided by legally qualified staff to non-legally qualified staff.
CLC has processes in place to enable learning to be shared and performance to be monitored.	10. Publish documents about supervisory processes.
	11. Consider and implement ways to share targeted and general learning from supervisory activity with the regulated community.
<b>Enforcement</b>	
CLC has published policies and guidance that enable others to understand the criteria for action.	12. Improve information available about enforcement proceedings. In particular, consider producing a single source of information to explain in simple consumer-friendly terms each stage of the enforcement process, from making a complaint to the appeals stage.
	13. Review website to ensure that the information is published in line with CLC’s own disciplinary publications policy and consider how CLC can best make its information accessible to consumers and others.
	14. Following work to develop and consult on decision-making guidance, publish guidance to assist the adjudication panel in making proportionate decisions that reflect the standards licensed conveyancers should uphold and the need for consumer protection.
CLC has a culture of transparency and improvement.	15. As part of upcoming review of approach to transparency, consider how information is made available so that it can be easily located and accessed.
	16. As part of upcoming review of approach to transparency, consider publishing more information on CLC website, such as Council papers and performance information (as part of Regulatory Activity Information Report).
	17. Monitor and evaluate the success of the new IT system, in particular whether it has enabled CLC’s core work to be carried out in an even more effective and efficient manner.