



2021 Business Plan

The Council signed off on the 2020 Business Plan at its meeting of 27th January, 2021.

The business plan is again organised under the following headings, the first three reflecting strategic objectives for the CLC:

1. Empower consumers to make informed choices
2. Adapt CLC regulation to changing markets
3. Be the regulator of choice
4. Consumer protection and redress
5. Standard-setting and compliance
6. Discipline
7. Administration

Empower consumers to make informed choices

Item	Objectives	Relevant Corporate Risk(s)	Activities to deliver objective in 2021
1	New database will be operational and supporting MI agreed by SMT and Council as well as online register	1, 2, 6	Jan-December Complete user testing Import and test data Switch off legacy CRM
2	Finalise an approach to Quality Indicators	6	Jan-December Continue joint pilot with SRA and CILEx, implementing changes in flight on basis of feedback from firms, digital comparison tools and other stakeholders, consumer research
	50% of firms will feature the Consumer Charter on their website	1, 3, 6	July - December Restart promotion to firms to drive engagement Monitor click-through to CLC website to gauge consumer use

Adapt CLC regulation to Changing markets

Item	Objectives	Relevant Corporate Risk(s)	Activities to deliver objective in 2021
4	Revise the rule book to ensure it is fit for the future	6	Jan-Dec Identify new opportunities and risks in the conveyancing and probate markets, changing expectations of Probate Registry, Land Registry, Financial Institutions etc. Aim to simplify structure of regulatory arrangements

Item	Objectives	Relevant Corporate Risk(s)	Activities to deliver objective in 2021
4a	Align the licensing framework for ABS and Recognised Bodies	6	April – December Review potential regulatory benefits of alignment of requirements to tighten licensing of Recognised Bodies and provide better levers for monitoring and compliance Consult on changes
5	Drive development and adoption of new tools and processes by the regulated community to improve consumer protection	6	Jan-Dec Continue very active engagement with HBSG, HM Land Registry, IT providers Support pilot of Digital ID scheme
6	Identify and plan mitigation of emerging risks in the marketplace	6	Jan-Dec Ensure shared organisational knowledge of the changing market and develop a CLC response to changes in the market Survey profile of work by practice to inform risk profile
7	Research into regulated community to inform risk assessment, planning and consumer protection	1, 2, 6	Research into key risk factors in early 2020 Consider need for an ARR
8	Revised Equality Code agreed by Council	6	Q1 Draft revised Equality Code Q3 Consultation
9	Revised Compensation framework is agreed by Council	1, 2	Q1 Finalise and Publish Policy Statement Q2-Q4 Review Compensation Fund, consult, secure LSB approval

Item	Objectives	Relevant Corporate Risk(s)	Activities to deliver objective in 2021
10	The CLC is viewed as a valuable contributor to government thinking on all issues that affect the practice of conveyancing and probate	6	CLC identifies, responds to and publishes its responses to government consultations Greater emphasis on demonstrating CLC's influence - PR and newsletter content

Be the regulator of choice

	C	D	E
Item	Objectives	Relevant Corporate Risk(s)	Activities to deliver objective in 2021
11	Provision of bespoke support to practices facing challenges as a result of the pandemic	1, 6	RSMs using survey findings to prioritise contact with firms and provide appropriate support
12	Fee rates for the next licence year agreed by Council	1, 2	Complete review of CLC's fee-setting arrangements
13	CLC has set out a clear CSR plan for 2021	4	Some CSR activity is underway, but the development of the programme is on hold until face to face activities can resume consistently
14	Report with compelling narrative about the CLC published April 2021	6	Publish report April 2021
15	Continue to grow CLC's visibility in legal press and impact of public legal education through consumer press	1	Targets set out in communications plan
16	Regulated community and stakeholders value the CLC's e-newsletters	1, 2	Continue monthly Managers and General Newsletters Maintain high open and click-through rates

	C	D	E
Item	Objectives	Relevant Corporate Risk(s)	Activities to deliver objective in 2021
17	Conference maintains high satisfaction rating, attracts larger attendance	6	No conference in 2021 Planning for 2022 to begin in Q3
18	Ensure equal market access for CLC-regulated firms and seamless service for transferring conveyancing firms	1, 6	Continue liaison with financial institutions and lender panel managers Changes to recognition of managers to be subject of communication
19	Ensure sustainable education provision to CLC qualifications	1, 6	Ensure sustainable provider base Ensure healthy pipeline of students Promote qualifications to existing/potential employers to ensure demand, targeting HR departments in large conveyancing practices
20	CLC is a high-profile presence at key conferences and events for conveyancing and probate specialist	1, 2	Participation in conferences and webinars where they take place

Consumer protection and redress

Item	Objectives	Relevant Corporate Risk(s)	Activities to deliver objective in 2021
21	Surveys of the regulated community to assess the impact of the pandemic and inform CLC's response	1, 2, 6	Surveys as the changing situation requires, much lower frequency than in 2021

Item	Objectives	Relevant Corporate Risk(s)	Activities to deliver objective in 2021
22	Maintain effective oversight of PII provision and market	1	Maintain close contact with insurers CLC to prepare for renewal 2021 Monitor renewal process closely and support practices Take steps to protect consumer interest as necessary
22a	Review the CLC's PII arrangements in time for a new approach to be followed at PII renewal in June 2022		Call for Evidence on PII arrangements Development of proposals for formal consultation to be agreed by Council Council approval of new approach LSB approval (may be early 2022)
23	Reduce number of Tier 2 complaints	2	Develop programme of workshops with practices to improve consumer complaints handling Consider polluter pays approach
24	Maintain CLC's proactive approach to monitoring and compliance	1, 2, 6	Conduct 70 routine inspections (preliminary estimate) Implement revised inspection report and collect and analyse more detailed information Proactively manage high-risk firms to bring risk down Review inspection requirements and process

Standard-setting and compliance

	C	D	E
Item	Objectives	Relevant Corporate Risk(s)	Activities to deliver objective in 2021
25	Provision of pandemic-specific advice and guidance to the regulated community and consumers	2	Coordination with MHCLG and MoJ Coronavirus-specific web page brings together CLC's own and other guidance on compliance and business resilience in response to the pandemic restrictions
26	Accountants reports reviewed for all firms within the individual deadlines	2	Continue to monitor bank reconciliations in addition to accountants reports and evolve process based on learnings
27	Efficient licence renewal process delivered and assessed positively by the Regulated Community	1	Use the 2020 licensing wash-up review to determine any changes required and implement for the 2020 licensing cycle

Discipline

Item	Objectives	Relevant Corporate Risk(s)	Activities to deliver objective in 2021
28	Review Adjudication Panel Rules	2, 4	The Chair of the AP to complete review of the rules with a view to consultation in Q2

Item	Objectives	Relevant Corporate Risk(s)	Activities to deliver objective in 2021
29	Disciplinary process and sanctions support the CLC's compliance regime	2	Explore different options to bring actions to Adjudication Panel Explore use of all sanctions Bring to SMT for discussion Council sign-off as necessary

Administration

Item	Objectives	Relevant Corporate Risk(s)	Activities to deliver objective in 2021
30	Clearer, streamlined processes for staff policy and admin are in place	3, 4	Move Payroll and Leave and expenses management to XERO to coincide with new financial year in April
31	Maintain up to date Operational Risk Register	6	Monthly SMT review
32	Clear KPIs are in place, being met and feeding MI	1, 2, 6	Monthly reporting to SMT and quarterly reporting to Council and publication of key metrics

Item	Objectives	Relevant Corporate Risk(s)	Activities to deliver objective in 2021
33	Review staff handbook	2, 4, 7	Q4 Post-COVID review of some items
34	Ensure sufficient access to external resource to support interventions	1, 2, 5	Review current provision and consider whether a new tender exercise is necessary
35	Realisation of cost savings projections	1, 2	Monitoring delivery of savings agreed in Q3 2020
36	Develop business case for new premises solution for the CLC	1, 2, 5	Review options and make recommendation to council Implement new solution