

Ref Objective

Regulatory Objectives 2022 activities

**Empower Consumers to make informed choices**

1	Decommission existing database and move to new database supporting MI agreed by SMT and Council as well as online register	1, 4, 5, 8	Review data fields in light of licensing rule changes (clarity due end Q1) Complete user testing Undertake data verification as part of the rebaselining of risk profiles for regulated entities
2	Finalise an approach to Quality Indicators	1, 4, 5, 8	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 Evaluation of one year of pilot Potential implementation of sector-wide approach following pilot
3	50% of firms will feature the Consumer Charter on their website	1, 4, 5	July - December Restart promotion to firms to drive engagement Monitor click-through to CLC website to gauge consumer use
4	Development of a Single Digital Register for the legal sector	4, 5	Participate in task and finish group being established by the LSB Assist in implementation of agreed
5	Take opportunities for joint research into consumer information needs as this cannot be achieved by CLC working alone	1, 4	Keep a watching brief for opportunities for collaboration on issues that CLC is not able to undertake alone

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**Adapt CLC regulation to changing markets**

1	Ensure the rule book meets current challenges and is fit for the future	1, 2, 4, 5, 6, 8	Develop rolling programme of review and amendment of the rule book beginning with issues identified in 2021 Supported by review of disciplinary cases and the impact of the Codes on effectiveness Bring recommendations to Council, undertake public consultation as necessary, secure LSB approval and begin implementation
2	Align the licensing framework for ABS and Recognised Bodies	5	Review potential regulatory benefits of alignment of requirements to tighten licensing of Recognised Bodies and provide better levers for monitoring and compliance and have proposals for end Q1
3	Drive development and adoption of new tools and processes by the regulated community to improve consumer protection	1, 4, 5, 6, 8	Continue very active engagement with HBSG, HM Land Registry, IT providers Support pilot of Digital ID scheme
4	Research into regulated community to inform risk assessment, planning and consumer protection	1 4, 6, 8	Annual Regulatory Return
5	Revised Equality Code agreed by Council	1, 2, 4, 6, 8	Consult on basis agreed by Council, secure LSB approval, implement revised policy
6	Monitor profile of regulated community	1, 2, 3, 6, 8	Undertake diversity monitoring survey (every three years)
7	Revised Compensation Fund framework is agreed by Council	1, 4	Review need for further changes to the Compensation Fund following publication of operational statement in 2021, issue consultation and secure LSB approval
8	The CLC is viewed as a valuable contributor to government thinking on all issues that affect the practice of conveyancing and probate	1, 2, 3, 4, 5, 7, 8	CLC identifies, responds to and publishes its responses to government consultations Increase emphasis on demonstrating CLC's influence - PR and newsletter content

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**Be the regulator of choice**

	Provision of bespoke support to practices facing challenges as a result of the pandemic	1, 4, 8	Review of material produced for pandemic situations to assess whether it should be archived or incorporated into Codes or Guidance Review impact of the pandemic on the regulated community, drawing on past research and 2022 ARR
2	Fee rates for the next licence year agreed by Council	1, 4, 6, 8	Complete review of CLC's fee-setting arrangements
3	Report with compelling narrative about the CLC published April 2021	7, 8	Publish report April 2021
4	Continue to grow CLC's visibility in legal press and impact of public legal education through consumer press	1, 2, 4, 5, 6, 7, 8	Targets set out in communications plan
5	Regulated community and stakeholders value the CLC's e-newsletters	1, 4, 8	Continue monthly Managers and General Newsletters Maintain high open and click-through rates
6	Conference maintains high satisfaction rating, attracts larger attendance	1, 4, 8	Council will be asked as part of the business plan for 2022 whether to hold a conference or engage with the regulated community in other ways
7	Ensure equal market access for CLC-regulated firms and seamless service for transferring conveyancing firms	1, 2, 4, 5, 6	Continue liaison with financial institutions and lender panel managers
8	Ensure sustainable education provision to CLC qualifications	1, 4, 5, 6, 8	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 Review of Level 4 and 6 qualifications by SQA and Ofqual due

9	CLC is a high-profile presence at key conferences and events for conveyancing and probate specialist	1, 4, 8	Participation in conferences and webinars where they take place
10	Ensure that licence application fees for different types of regulated entities are appropriate	5, 8	Review all licence application fees in the light of amendments to the licensing rules for ABS and Recognised Bodies and reflect any changes in the proposals for 2022 fee-setting over all

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**Consumer protection and redress**

1	Maintain effective oversight of PII provision and market	1, 4, 5, 6, 8	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
2	Review the CLC's PII arrangements in time for a new approach to be followed at PII renewal in June 2022	1, 4, 5, 6, 8	Complete consultation, LSB approval, Implementation of new approach, Close monitoring of impact
3	Maintain CLC's proactive approach to monitoring and compliance	1, 2, 4, 5, 6, 8	Monitor and build on improvements made in 2021
4	Accountants reports reviewed for all firms within the individual deadlines	1, 2, 4, 5, 6, 8	Continue to monitor bank reconciliations in addition to accountants reports and evolve process based on learnings
5	Efficient licence renewal process delivered and assessed positively by the Regulated Community	1, 4, 5, 6, 8	Use the 2021 licensing wash-up review to determine any changes required and implement for the 2022 licensing cycle
6	Review Adjudication Panel Rules	1, 2, 4, 7, 8	The Chair of the AP to complete review of the rules with a view to consultation in Q1, consultation, LSB approval and implementation
7	Disciplinary process and sanctions support the CLC's compliance regime and that Codes support effective discipline	1, 2, 4, 8	Monitor and build on improvements made in 2021 Review disciplinary cases to analyse impact of the Codes on progress and
8	Ongoing Competence	1, 2, 4, 6, 8	Review CLC requirements for post-qualification training and assessment in light of LSB work Secure Council approval for amendments and consult as necessary Secure LSB approval of changes

9	Close monitoring of the impact on complaints handling of the new approach to covering OLC costs Reduce Tier 2 Complaints	1, 4, 8	Begin discussion with LeO based on their new business plan and develop joint projects Gather data from regulated community and OLC to baseline complaints handling measures Review procedures in firms with high proportions of complaints Develop annual reporting mechanism to capture data from firms Assess changes in complaints handling to inform regulatory fee-setting for 2022-23
10	Enhance engagement with CLC consultations and improve level of feedback secured	1, 4, 5, 6, 8	Review CLC's approach Develop new consultation methods that will increase engagement and provide richer feedback from the regulated community and stakeholders
11	Collect the appropriate fees from firms to meet the costs of LeO	1, 4, 5, 8	Fee collection round based on LeO's charges at its year-end
12	Ensure that clients are properly protected when one practice is acting for both sides in a transaction	1, 2, 4, 5, 8	Review rules and guidance on acting for Both Sides to ensure that they are fit for purpose and clear
13	Rebaselining risk profile of all regulated entities	1,4, 6, 8	Review each firm in light of latest ARR and other intelligence

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**Administration**

1	Maintain up to date Operational Risk Register to drive mitigation planning and inform the Strategic Risk Register	1, 2, 4, 5, 6, 7, 8	Monthly SMT review
2	Clear KPIs are in place, being met and feeding MI	1, 2, 4, 5, 6, 7, 8	Monthly reporting to SMT and quarterly reporting to Council and publication of key metrics
3	Ensure flexible working policy is appropriate for post-pandemic circumstances	1, 2, 4, 5, 6, 7, 8	Undertake review once working life is not subject to so many restrictions
4	Ensure sufficient access to external resource to support inspections and disciplinary work	1, 2, 4, 5, 6, 7, 8	Review current provision and consider whether a new tender exercise is necessary
5	Realisation of cost savings projections	5, 6	Monitoring delivery of savings agreed in Q3 2020
6	Recruitment to the Adjudication Panel and to the Council and potential recruitment to staff team	1, 2, 4, 5, 6, 7, 8	AP and Council Member Recruitment Q1 Potential for later staff recruitment
7	Ensure resilience of inspection and disciplinary processes	1, 4, 5, 6, 8	Review and then as necessary tenders for: - Disciplinary Case support - Inspection - Interventions
8	Ensure arrangements for the delivery and oversight of education to CLC qualifications are effective	6, 8	Review contactual arrangements with SQA
9	Ensure the CLC is publishing information about its work and policy development that supports transparent operation	1, 2, 4, 5, 6, 7, 8	Review Publication Scheme
10	Ensure that the CLC is able to attract and retain the right staff and non-executives	1, 2, 4, 5, 6, 7, 8, 10	Benchmark remuneration against similar organisations Review opportunities for ensuring staff health and wellbeing
11	Maintain a learning culture at the CLC	1, 2, 4, 5, 6, 7, 8	Ensure staff training in AML, GDPR and other relevant legislation, cascade knowledge and insight between teams

12	Assess CLC performance and effectiveness	1,2, 3, 4, 5, 6, 7, 8, 9, 10	Complete a rigorous series of internal audits agreed by the Audit and Risk Committee
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