

**Council for Licensed Conveyancers
Minutes of the Council meeting held on
Thursday 10 November 2022
By Video Conference
11.00 a.m. – 1.00p.m.**

Council Present

Dame Janet Paraskeva
Alan Cogbill
Colin Wilby
Jenny Quirke
Milton James

Sally Szarka
Sarah Debney
Sarah Ryan
Victoria MacGregor

In attendance

Mr. J. Hinrichsen
Ms. S. Kumar
Ms. N Smith
Mr S. Ward

Director of Finance and Operations
Chief Executive
Executive Assistant (minutes)
Director of Strategy and External Relations

1. Welcome and Introductions

There were no apologies for absence.

The Chair informed all in attendance that Item 8 (Compensation Fund Determination) would be moved to the end of the agenda.

No requests to discuss information items at 18-21 had been received.

2. Declarations of Interest

There were no declarations of interest to be noted.

3. Minutes and Matters Arising

Minutes of the meeting held on 28 July 2022

The Council **AGREED** that minutes of the meeting of the Council held on 28 July 2022 be approved as a correct record.

Actions arising from previous meetings

The Council **NOTED** progress with actions arising from previous meetings.

4. Feedback from Council Member Annual Appraisals

The Council **NOTED** that all appraisals between the Chair and Council Members had taken place.

Council Members had expressed an interest in the CLC hosting single subject meetings to discuss topics of interest (e.g. Probate).

It was reported that some Council Members had expressed an interest in attending meetings between CLC staff and third parties e.g. with Government departments. Members were informed that should there be an appropriate occasion they would be notified and were reminded of the Board to Board with LSB to take place on 2 February 2023.

The Chair also reported that one member had questioned whether minutes of Council meetings should be more discursive but there was general agreement that the current style of recording decisions with their background was appropriate good practice.

Council Members were informed that the Chair's annual appraisal would take place independently in December 2022 and they were invited to express interest in taking part in feedback meetings with the independent adviser.

ACTION November/22/01: RSM's to host sessions for Council Members covering individual topics of interest

ACTION November/22/02: Council Members to inform the Executive Assistant if they would like to participate in feedback session for Chair's appraisal

5. Chief Executive's Report

The Chief Executive introduced the report, which included updates on the following:

- Regulatory Performance Assessment
- Legal Services Consumer Panel
- OLC Business Plan and Budget 2023/24
- Licence Renewal 2022/23
- Professional Qualifications Act 2022

- Review of Disciplinary Process and Sanctions
- Regulatory Return
- Professional Indemnity Insurance
- Ethical Principles Consultation
- Consumer Reference Group
- Principle Reference Group
- HM Land Registry
- AML

The Council **NOTED** the Chief Executive's report. Some questions pertaining to the AML section of the report were clarified, an updated version of which would be circulated following the meeting.

ACTION November/22/03: To circulate a list of acronyms used in the report to Council members

6. Principal Risk Register

The Director of Finance and Operations advised Council that the Principal Risk Register had been discussed and reviewed by the Senior Management Team and then by the Audit and Risk Committee at its meeting on 18 October 2022, who were recommending the Register to Council.

The Council **AGREED** to adopt the Principal Risk Register as proposed.

7. Watchlist and interventions

The Director of Finance and Operations introduced the report. No new practices had been added since the last meeting of the Council and there had been progress in relation to those on the watchlist.

The Council **NOTED** the Watchlist and Interventions report.

8. Compensation Fund Determination

The Council considered a draft Compensation Fund determination for an application for a grant in excess of the threshold value delegated to the executive team.

The Council **AGREED** to reject the application.

9. Compensation Fund Operating Framework Review: Progress

The Chair of the Compensation Fund Operating Framework Review Group outlined progress with review of the review, including the following:

- revised compensation fund arrangements including filtering of eligible applications through an online form that will give applicants a sense of their likely eligibility;
- mechanisms are designed to enable self-sifting by an applicant, and to facilitate ready case management by CLC;
- the fund would remain discretionary.

The Council **NOTED** progress with review of the Compensation Fund Operating Framework.

10. Business Plan

10 (a) Business Plan 2022 Progress

The Director of Strategy and External Relations introduced a report setting out progress against the 2022 Business Plan.

The following amendments since the previous quarter were highlighted:

- The Consumer Reference Group is now up and running.
- Work has begun on revisions to the Code of Conduct
- The CLC Conference is provisionally scheduled for Autumn 2023
- Work to review sanctions will continue into 2023

The Council **NOTED** progress against the Business Plan.

10 (b) Business Plan 2023

The Director of Strategy and External Relations introduced a report setting out the 2023 Business Plan. It had been developed to deliver the revised strategic objectives that were also before the Council for sign-off.

The Business Plan would be published on the CLC website and progress would be reported at each quarterly meeting of the Council.

Following discussion, an explicit strand of activity relating to enhancing the CLC employer brand was added to the business plan.

The Council **APPROVED** the draft Business Plan.

11. CLC Strategy 2023 – 2025

The Council and Staff team of the CLC had worked since the spring of 2022 to review the CLC's strategic objectives. A draft had been put out to public consultation and in parallel the Council had held a workshop discussion on the emerging objectives in September.

The consultation had resulted in changes being made to the draft objectives. The changes were to make explicit the CLC's starting point that it exists to promote and protect the consumer and public interest. This had been done in the revised draft strategic objectives that were before the Council for review. The Objectives and commentary would be published together to help third parties understand their intent.

The Council **APPROVED** the Strategic Objectives for the CLC for 2023 to 2025.

The new Strategic Objectives are now [published online](#).

At this point in the proceedings (12:20 p.m.), the Council adjourned and resumed at 12:30 p.m.

12. Equality Code Review

The Director of Strategy and External Relations introduced a report setting out proposed changes to the Equality Code following a public consultation that had run over the summer and early autumn.

There were three full and very helpful responses to the formal consultation paper.

They were from:

- The Society of Licensed Conveyancers
- The Solicitors Regulation Authority
- The Legal Services Consumer Panel

The CLC also ran an online survey with questions relating to the consultation.

There were five responses to that:

- Two were from CLC-regulated individuals not working in CLC-regulated entities
- Two were from non-CLC Authorised Persons working in CLC-regulated entities
- One was from a non-regulated fee-earner in a CLC-regulated entity

This is a good response taking into account the fact that many CLC-regulated individuals look to the SLC to respond on their behalf. It provides a diversity of perspectives on the proposals.

The Council considered post-consultation amendments to the Equality Code.

The Council **AGREED** that the revised Equality Code should be submitted to the Legal Services Board for approval.

ACTION November/22/04 to submit the revised Equality Code to the LSB

13. Performance indicators

The Director of Finance and Operations introduced a report which included Indicators and Metrics for Quarter 3. The management team had reviewed the current KPI's to consider whether any changes to the content or format were required.

The Executive determined that:

- 1) They still report on all the key regulatory areas that the CLC undertakes (licensing and monitoring)
- 2) That there are no new activities that should be included
- 3) That they are for the most part easy to read and understand.

However, they recommended the addition of some further metrics around licensing activity. These would be implemented in the first report in activity in the business plan year 2023. This would be the data on Q1 2023 that will be considered by the Council at the meeting of 11th May 2023.

The Council **APPROVED** the proposed additions to the report.

ACTION November/22/05 To include additional metrics around licensing activity within future reports.

14. Annual Review of Publication Policy

The Director of Strategy and External Relations introduced a report setting out proposed amendments to the CLC's Publication Policy. The proposals build on steps already taken by the CLC in 2021 and 2022 to increase the information available about its operations. These include more accessible arrangements for the publication of Council papers, the publication of a Chair's report on each meeting, linking items in the annual business plan to Regulatory Objectives, taking steps to increase engagement with policy consultations, and establishing the Consumer Reference Group, among others.

The amendments to the Public Policy were developed in discussion at the Council Workshop that took place in September 2022.

The Council **AGREED**

- (1) to the amendments to the Publication policy as follows:
 - a) Individuals may request access to Council Papers in advance of meetings

b) Individuals may attend Council Meetings as an observer for specific items

(2) that arrangement should be made for an Annual Open meeting.

ACTION November/22/06 to amend the Publication Policy to reflect the above amendments

ACTION November/22/07 to arrange for an Annual Open meeting to be held in 2023

15. Committee Reports

The Audit and Risk Committee Chair introduced her report which summarised the business considered at its meeting in October 2022.

The Council **NOTED** the report.

16. Any other business

There were no other items of business.

17. Date of next Council Meeting

Thursday 2 February 2023 at 11am

INFORMATION ITEMS

18. Q3 Performance Outturn

The Council **NOTED** the Performance Outturn report for Q3, which had been reviewed and discussed in detail by the Audit and Risk Committee at its meeting on 18 October 2022.

19. Stakeholder Perceptions Report 2022

The Council **NOTED** the Stakeholder Perceptions Report for 2022.

20. Property and Law News Round Up

The Council **NOTED** the round up review of major developments and the economic outlook that will affect the conveyancing market.



21. Council Workplan

The Council **NOTED** its forthcoming Workplan.