



2025 Business Plan

Key

CEO – Chief Executive

DANB – Director of Authorisations and New Business

DDA – Deputy Director of AML

DDRS - Deputy Director of Regulatory Standards

DFO – Director of Finance and Operations

DPO – Data Protection Officer

DSER – Director of Strategy and External Relations

The Regulatory Objectives (Legal Services Act 2007)

1. Protecting and promoting the public interest
2. Supporting the constitutional principle of the rule of law
3. Improving access to justice
4. Protecting and promoting the interests of consumers
5. Promoting competition in the provision of services
6. Encouraging an independent, strong, diverse and effective legal profession
7. Increasing public understanding of the citizen's legal rights and duties
8. Promoting and maintaining adherence (by authorised persons) to the professional principles
9. promoting the prevention and detection of economic crime

Strategic Objectives

1. Promote quality in legal services
 - A. The CLC should promote all aspects of improvement in the practice of conveyancing and probate, whether legislative, process change or it-driven to improve client outcomes.
 - B. Revised ethical standards should underpin work to drive quality and compliance and assist in the disciplinary process.
2. Exploit the CLC's unique approach, insight and relationship with the regulated community to further improve consumer protection
3. Benefit clients by reducing the unit cost of regulation by the CLC and bringing the CLC's specialist regulation of conveyancing and probate to bear on a larger part of the market

LSB Regulatory Performance Standards

1. Well-led
2. Effective approach to regulation
3. Operational Delivery

CLC Principal Risks

1. Loss of significant practice fee income caused by depressed market conditions, practice churn or practice closure
2. Unplanned increase in the cost of regulation to the point where expenditure exceeds income
3. Loss of any or multiple SMT members
4. The CLC is unable to attract and retain capable and competent employees due to uncompetitive pay and, benefits.
5. A major incident, either physical or cyber threatens the continuity of the CLC through loss of staff or infrastructure.
6. Not delivering on the CLC Strategy.

7. Practices are not able to secure Professional indemnity insurance or terms are unaffordable or unacceptable to the CLC
8. Organisational performance and staff welfare risks in a small organisation

Ref	Lead	Business Plan Item	Regulatory Objectives	Strategic Objectives	RPA Standards	Principal Risks addressed	2025 development activity
1.	DFO/DSER	Continue to deliver high quality monitoring, compliance and enforcement	All	All	2, 3	1, 2, 6, 7, 8	<p>Continue to increase speed and efficiency of monitoring, compliance and enforcement</p> <p>Enhance feedback to the profession to drive up standards, building on the Risk Agenda and running more compliance events online and in-person</p> <p>Consider any potential follow-up actions on LSB's review of discipline and enforcement across the sector</p> <p>Reduce first tier and second tier complaints in the sector – working with LeO where possible</p>
2.	DSER	Grow the activity under CLC regulation through practices and individuals choosing to move to CLC regulation	1, 3, 4, 5, 6, 8	All	2, 3	1, 2, 4, 6	<p>Promote through</p> <ul style="list-style-type: none"> • Direct conversations with practices that should consider moving into CLC regulation • Communications aimed at reaching individual who should consider moving into CLC regulation • Other elements agreed by Council on the basis of the dedicated paper on growth.

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3.	DSER	Improve accessibility of CLC information for regulated community, stakeholders, consumers etc through the website	All	All	All	1, 2, 5, 6	<p>Review contents of the website to ensure all information is correct and up to date</p> <p>Review organisation of website to ensure easy and intuitive user journeys</p> <p>Apply insights from the ongoing research with BSB and CILEx Regulation to address Digital Exclusion</p> <p>Consider adding automatic translation tool to the website.</p>
4.		Public Legal Education	1, 4, 7	2	2	6	<p>Continue to enhance relevant content on Legal Choices</p> <p>Continue First Time Buyer articles</p> <p>Hold events for first time buyers in tandem with compliance and other events around England and Wales</p>
5.	DSER	Continue rolling review of Handbook, Frameworks, Guidance and sanctions	All	All	All	2, 6, 7	<p>Implement new Code of Conduct and consequential changes</p> <p>Review:</p> <ul style="list-style-type: none"> • Notification Code • Know Your Client expectations • Completion and Registration expectations

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							<ul style="list-style-type: none"> Equality Code Licensing Frameworks Sanctions (following LSB report on discipline and enforcement, expected in 2025) <p>Publish new guidance on dealing with vulnerable clients</p>
6.	DSER	Adjudication Panel Rules	1, 2, 3, 4, 7, 8,	All	All	2, 6, 8	<p>Submit rule change application</p> <p>Implement revised Rules</p> <p>Support the delivery of a more robust operation that delivers good outcomes faster for lawyers and clients</p>
7.	DDRS	Compensation Fund	1, 4, 7,	2, 4	2, 3	2, 4, 6	<p>Submit rule change application</p> <p>Implement new rules once approved by LSB</p> <p>Manage complex and novel claims</p>
8.	DANB	Ongoing Competence	1, 4, 6, 8, 9	All	2, 3	2, 6, 7	<p>Submit rule change application</p> <p>Implement new approach for pilot year beginning November 2025</p>
9.	DSER	Probate	1, 3, 4, 5,	All	2, 3	1, 2, 4, 6	<p>Increase engagement with probate practitioners and respond to particular challenges of consumer protection and compliance</p>

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			6, 8, 9				Secure engagement with Probate Registry
10.	DDRS	Improve performance at Completion and Registration	1, 4, 8, 9	All	2, 3	2, 6, 7	<p>Reduce HM Land Registry requisition rates through training of CLC practices, focusing on most challenging cases</p> <p>Set out clear expectations for completion and registration and consider additions to the Handbook and guidance</p> <p>Continue to promote alternatives to Client Account where they can improve completion</p>
11.	CEO	Engage with the LSB in its oversight work	N/A	All	All	2,6	<p>Continue to provide information and evidence to the LSB's review of discipline and enforcement</p> <p>Review findings of LSB's review and apply to the CLC as appropriate</p> <p>Review findings of the 2024 RPA and take follow-up action</p> <p>Prepare 2025 RPA submission</p>
12.	DDRS	Equality, Diversity and Inclusion	1, 2, 4, 6	2	2	6, 8	Review how we capture and use data about the regulated community to improve quality and extent of data and reduce effort of collection to support analysis of EDI impacts of CLC policy and activity

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							<p>Carry out EDI research on revised basis</p> <p>Submit planned revisions to the Equality Code to the LSB for approval</p>
13.	CEO	MoUs with other organisations	All	All	All	1, 2	Review all MoUs with partner organisations to ensure they are supporting the CLC's regulatory activity and consumer protection as well as they can
14.	DSER	Transforming home buying and selling	All	1, 2	1, 2	1, 2, 6, 7	<p>Shift CLC effort to use of our own levers as a regulator that can help drive positive change</p> <p>Consider how consumer protection and acting in the best interests of clients can practically be achieved and enhanced in the transformation of the conveyancing process</p> <p>Continue to promote choice of legal advisor and review enhancement of information available to assist consumer choice (informed by LSB assessment of the CLC's work on Consumer Empowerment following the evidence submission in September 2024)</p> <p>Promote the CLC's Consumer Charter and encourage practices to display the badge and link online</p>

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15.	DFO/ DSER	Evidence gathering	All	All	All	1, 2, 5, 6, 7	<p>Continue to press OLC for better quality, more timely data.</p> <p>HMLR data on requisition rates of CLC firms should be available for use in by March 2025. We will use this in risk assessment and to drive performance improvement</p> <p>Other areas of evidence gathering include</p> <ul style="list-style-type: none"> • Annual Regulatory Return • PII Claims data • Tech and innovation insight from survey of tech providers and CLC practices • Tech and Innovation Group, PRG and CRG sessions to inform policy and operations • Stakeholder perceptions research
16.	DFO	Database development and maintenance	1, 4, 8, 9	All	All	2, 5, 6, 8	Continue to develop the database to accommodate more CLC data requirements and support more processes, including the new Ongoing Competence data capture requirements
17.	DPO	Annual Data Cleanse	N/A	3	1, 3	5, 8	Review data holdings and delete data that no longer needs to be held by the CLC or must be deleted in line with regulatory policy of legal requirements.

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18.	DSER	Promote the CLC as an effective, proportionate, contemporary regulator of successful legal practices	1, 5, 6, 7, 8, 9	1, 3	All	1, 2, 3, 4, 6, 7	<p>Refresh narrative to be more confident of CLC strengths given comparison with other regulators</p> <p>Promote through</p> <ul style="list-style-type: none"> • media reporting/placed articles • CLC and other events • social media • pastoral practice visits • stakeholder engagement • enhanced Whitehall and Westminster engagement for remainder of first year of Parliament to build base for future • enhanced web content and functionality
19.	CEO	Maintain best-in-class governance	All	All	1	2, 3, 4, 5, 6	<p>Complete full programme of internal audit by independent auditor and maintain high internal audit rating</p> <p>Reflect changes arising from Auditing, Reporting and Governance Authority (taking over from FRC)</p>
20.	DSER	Outreach to potential CLC practices/lawyers	1, 3, 4, 5, 6, 7	2, 3	2	1, 2, 3, 4, 6	Covered in the separate growth paper for Council

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21.	DSER	Review CLC strategy	All	All	All	All	<p>Corporate Strategy period ends in 2025. Revised strategy will be developed</p> <p>CLC will also review</p> <ul style="list-style-type: none"> • Office accommodation • Staffing • Working arrangements (currently hybrid)
22.	DSER	Participate in cross-sector initiatives	All	2	All	2, 5, 6	<p>Development of the Regulatory Information Service</p> <p>LSB's Professional Ethics and Rule of Law project</p> <p>LSB's Wales Forum</p> <p>Regulators EDI Forum</p> <p>Regulators Research Forum</p>
23.	DFO	Set new fee rates for the licence year beginning November 2025	1, 4, 5, 6,	All	All	1, 2, 3, 4, 6	Issue a consultation informed by turnover rates reported in the PII renewal process
24.	DANB	PII	1, 2, 3, 4, 5, 6,	1, 2, 3	All	1, 2, 6, 7	Monitor effective operation of the market through engagement with brokers and insurers
25.	DSER	Ensure wide input to CLC policy development	All	2, 3	All	1, 2, 6	Extend and enhance membership of both the Consumer Reference Group and Professional Reference Group

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26.	CEO	Staffing	All	All	All	All	<p>Recruit staff in line with the budget agreement</p> <p>Recruit to Council vacancies</p> <p>Review remuneration, staff and Council policies, whistleblowing and probity policies</p>
27.	DSE	Continued intensive engagement with LSCP, LSB, OLC, OPBAS	All	All	All	2, 6	<p>Ensure that work with those organisations is meeting the needs of the CLC</p>
28.	CEO	Business Continuity Planning	All	All	All	All	<p>Annual Review of the Business Continuity Plan</p> <p>Complete general review of policies and establishment of internal repository with review dates applied to all policies</p> <p>Ensure all CLC processes are documented in Standard Operating Procedures</p>