

INTRODUCTION

Applicants should always refer to the published [CLC Exemptions Policy](#), the [CLC handbook](#), [HoLP and HoFA occupational experience](#), and validate their [CLC Manager eligibility](#); and then read this guidance BEFORE [requesting an individual application form](#). This universal guidance is for individuals intending to submit an application for one of the following:

First Qualifying Licence

1. CLC Employed Licence;
2. CLC Manager Licence;

Change to an existing CLC Licence

3. Change from Manager to Employed Licence;
4. Change from Employed to Manager Licence;
5. Reinstating a [lapsed](#) or [suspended](#) licence

CLC 'Manager and Key Personnel' Authorisations

6. CLC Approved Manager (Lawyer and non-Lawyer);
7. Head of Legal Practice (HoLP); and
8. Head of Finance and Administration (HoFA)

Applicants seeking to apply:

- for a CLC licence, licensed by an Approved Regulator other than the CLC, should complete and submit the entire application form.
- for a further licence for either Probate or Conveyancing, and [who already hold a CLC Licence](#), should complete and submit the entire application form.

Individuals wishing to change the scope of a current CLC Licence should follow the instructions set out in Section 6 in this guidance, for example individuals wishing to change from a:

- Conveyancing Employed to a Conveyancing Managers Licence; or Conveyancing Managers to a Conveyancing Employed Licence.

SECTION 1: Making the right application

1. EMPLOYED AND MANAGER LICENCES

Most applicants applying for a first licence should apply for an employed licence. However, individuals who are partners or directors in a practice; or individuals who are members of an LLP should apply for a manager licence.

You are required to satisfy the Council that you are a fit and proper person to be granted a licence in accordance with section 15(1) of the Administration of Justice Act 1985.

2. CLC LAWYERS SEEKING TO REINSTATE A SUSPENDED LICENCE:

The CLC's overriding principle when approving applications to reinstate a licence is that the applicant must intend to work in a supervised and not supervisory capacity for the licence duration. When you have been subject to regulatory action and/or a disciplinary sanction you may be asked to provide details of what action you have taken to improve your knowledge and de-risk your practise.

[FAQs reinstating a lapsed Licence](#)

[FAQs reinstating a suspended licence](#)

3. DUAL AND CROSS QUALIFYING PROFESSIONALS

- Solicitors, FCILEx, F.NALP and F.P.NALP lawyers (with a valid practising certificate free from conditions) that have completed conveyancing and probate electives
- Candidates that have successfully completed CILEx/Paralegal/Solicitor Apprenticeships at Level 6 and 7 (with conveyancing or probate pathways)
- Step Practitioners that have achieved either: the STEP Diploma in Trusts and Estates - England & Wales or the STEP Diploma in Will Preparation - England & Wales

In order to apply for a first qualifying CLC licence there are no further educational requirements. Please always refer to the published [CLC Exemptions Policy](#). However, ALL dual and cross qualifying professionals must provide evidence of their past passed electives (conveyancing or probate) and

are required to complete and submit a Statement of Practical Experience, for 1200 hours, signed and verified by an Authorised Person, with their application.

If you are unable to fulfil either the educational or work experience requirements please contact the CLC Licensing team by email at licensing@clc-uk.org and include in the subject heading 'Dual/Cross qualifying applicant: CLC licence enquiry'.

SECTION 2. Making sure you have the correct supporting documents

4. BEFORE SUBMITTING AN APPLICATION

- a. **Proof of Identity:** All applicants must **provide** three separate forms of proof of identity. **These documents will be uploaded onto the Experian system and must be sent as individual scanned or printed copies.**
 - **One** copy proof of your personal identity must be a copy of your current and valid Passport (**mandatory requirement**) (***Please note if you are applying for a CLC licence the licence will be issued in your legal name as it appears in your Passport**)
 - **Two** different types of proofs of your current address, such as a utility bill, bank statement, Mortgage statement, official letter (from HMRC) in your name; OR, a letter from a Landlord confirming your Tenancy agreement (**no more than three months old OR twelve months for Mortgage statement or council tax statement**); OR, your photo driving licence
- b. **Copy proofs of identity AND Educational certificates at Level 4 and Level 6** MUST each be certified by an independent regulated professional, such as a Licensed Conveyancer, Licensed Probate Practitioner, FCLIEx, Accountant, Barrister, Notary or Solicitor.
- c. The correct way to certify each page of a document is demonstrated below.

I certify that this document is a true copy of the original.

OR (where documents contain photographs)



I certify that this is a true copy of the original and a good likeness.

PRINT NAME IN CAPITALS

SIGN

LICENCE OR PRACTISING CERTIFICATE NUMBER

DATE

CONTACT ADDRESS

DAYTIME TELEPHONE NUMBER

Important Covid-19 update due to restrictions for personal contact the CLC documents can be Digital certified. For guidance on how to digitally certify a document is published [HERE](#).

- d. **Education and Qualifications for Licence Applications:** Applicants' professional qualifications must meet the CLC threshold education and training requirements at Level 4 and Level 6. Please refer to the CLC website [CLC Trainee Lawyer](#) and ensure copies of certificates are certified.

Important Covid-19 update. SQA candidates that have not been able to obtain their Diploma Certificates from SQA, or from their chosen Training Provider, will be asked to provide their consent for the CLC to verify remotely with SQA their Unique SQA Candidate Reference number to confirm their educational attainment. No certification is necessary. Published guidance [HERE](#).

- e. **Statement of Practical Experience:** All licence applicants must provide a certified Statement of Practical Experience relevant to the licence they are applying for i.e. [conveyancing](#) or [probate](#). Please see out published FAQs [HERE](#)

This is a statement which confirms you have been in full or part-time, paid or voluntary employment assisting in the provision of conveyancing/probate services for at least 1200 chargeable hours; based on 25 supervised hours a week for 48 weeks, certified by an "Authorised Person" i.e. a licensed conveyancer, a solicitor or a FCILEx licensed (**with the**

appropriate practising rights) to offer conveyancing and/or probate services directly to the public.

Statements must be certified within the two year period prior to the date of submission of your application.

- f. Where appropriate conveyancing or probate supervision **cannot** be provided by the [CLC] Lawyer's employer, other appropriate supervision arrangements must be secured from another appropriate business; and be agreed with the CLC **BEFORE** the period of practical experience begins and any conveyancing/probate services are provided to the public. Email traineelawyer@clc-uk.org

SECTION 3: Submitting an application

- a. **Documentation check list:** Ensure all mandatory documentation is numbered, listed and submitted along with the main application form.
 - i. See here for [table of documents](#) required to upload with your application.
 - ii. The CLC uses the online platform DocuSign to send and process individual applications. Individuals should request a digital application form through the CLC website. Once application requests have been processed by the CLC Licensing Team, DocuSign will email applicants from dse@eumail.docusign.net with a unique link to accessing the digital application form and helpful instructions about how to complete it.

- b. Applicants will have 28 days to complete and submit the digital application on either a smartphone, tablet or computer. Applicants should contact licensing@clc-uk.org if any assistance is required when completing the digital form. After 28 days the link to the digital application will expire.



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- c. If the Licensing Team find that the application has been completed incorrectly or important information is missing, applicants will receive an email from DocuSign with instructions on what to do next.

- d. Once applications have been checked as complete the Licensing Team will email applicants setting out the fees associated to the application. Application fees will be invoiced by email from the CLC Finance Team. Experian payments will be made payable to Experian direct from the applicant. **Payment can ONLY be made by credit or debit card. A credit or debit card held in ANY name can be used to make payment; such as a company or employer bank account.**
- e. Individual applications associated to a practice application (ABS or Recognised Body) MUST be submitted at the same time as the practice application.

SECTION 4: Standard checks

a. Criminal Records Checks and Disclosure and Barring Service Checks: The CLC will carry out a Disclosure and Barring Service **(DBS) Standard Check** against:

1. First qualifying licence, dual qualifying licences (adding probate or conveyancing to an existing licence), licence changes, reinstating a lapsed - when expired more than 2 years); or a suspended licenced.

[FAQs reinstating a lapsed Licence](#)

[FAQs reinstating a suspended licence](#)

1. CLC approved managers (lawyers (non CLC) and non-lawyers), including individuals and the representatives of Corporate investors with a disclosed financial interest in an a Practice Licence application, Recognised Body or ABS;
2. HoLPs and HoFAs (need to complete a specific HoLP or HoFA application form)
3. Beneficial Owners, and Officers and Managers of a corporate investor (BOOMs)

b. Standard DBS check

The CLC will carry out the below checks, including a Standard DBS check with the credit agency Experian. Applicants will be asked to pay the fee for the check directly to Experian and at this time, Experian will also ask applicants to complete a consent form in order to start the checks.

DBS certificates are issued directly to the applicant by the authorising service. The below checks are carried out:

- Spent and unspent convictions
- Cautions, reprimands and warnings received in England and Wales that are held on the Police National Computer
- Identity
- Adverse Financial
- Sanctions
- Directors
- FCA
- Standard DBS

c. Regulatory checks, allegations, investigating and disciplinary action (pending through to findings).

d. Employment references. The CLC may seek to obtain references from past or most recent employers when applicants are seeking to hold a CLC Licence or applying to be approved as a HoLP and/or HoFA. **Note: From December 2020 with the exception of First Qualifying Licences all applicants must provide a current CV.**

e. Adverse disclosure and findings: Please note the standard application timescale do not apply to applicants that are subject to adverse findings as a result of a disclosure made at the point to submitting an application; or, as a result of information gathered as part of the standard checks set out under 3.1 to 3.4. See section 4.3 for more information.



Your responsibility to respond to Experian

Applicants will be required to provide a number of documents to enable the credit agency to carry out their investigation and to provide the report to the CLC. Checks can take up to 8 weeks.

You must provide certified copies of your ID and residency documents. If you are applying to become a CLC Lawyer, one of your ID documents must be a current and valid passport (this is a mandatory requirement). If you are not on the electoral roll Experian may request further documentation. Queries relating to the standard checks should be made directly to Experian.

Important Note: Applicants will receive requests for information or payment directly from Experian. Applicants must respond to these requests otherwise the Experian case will close and the application will not progress. You will then be required to submit and pay for an entirely new application. You should add the below email addresses to your safe recipient list so you receive all important emails from Experian: applications@backgroundchecking.experian.com and applicationforms@backgroundchecking.experian.com

Applicants will be reminded in an email from the CLC at the beginning of the application process that Experian may make these types of important requests and the importance of responding in a timely manner. The CLC does not provide any prompts or follow ups to Experian requests.

Applicants that do not complete the Experian checks will have their application **CLOSED.**

SECTION 5. Processing applications

- a. The time needed to process applications depends on the level of information submitted and whether any further investigation, or verification of that information is required beyond the CLC's standard checks. The CLC endeavours to process non-complex applications within 42 days.

The 42 days starts when the Fit and Proper checks have been met. This can only be established AFTER the Experian results have been received. This means that:-

- The application has been checked as complete;
- The CLC Finance Team has confirmed receipt of the application fee payment; and
- The Experian fee has been paid and the consent form has been completed to carry out the credit and criminality checks.

Applicants will receive an email from the Licensing Team to say they have filtered in to the standard review process. [Applying for a Licence CLC Code](#)

- b. Applicants will only be contacted by the CLC during this time (42 days) if the CLC believes that further investigation is needed to verify any supporting documentation or information provided by the applicant.
- c. If we haven't received a response for information, or payments that should have been provided to the CLC in the timeline we would expect, you should expect to receive a helpful email reminder. **Applicants not contacted during this time should presume their application is progressing satisfactorily.**
- d. A 42 day adverse findings extension. Applications subject to adverse findings (section 3.1 to 3.4), will receive a 42 day extension to the original 42 days required to process a standard application (total 84 days). Applicants will be emailed to notify them whether the 42 day adverse findings extension applies to them.
- e. When applicants are refused based on adverse information known to the applicant (including external sources of information), the CLC reserve the right to refuse the application without providing grounds.

Please note: the CLC reserves the right in complex applications to further extend the 42 day adverse findings extension to complete all necessary investigations. Applicants will be notified by email if this applies to them before the extension period expires.

- f. All individual applications submitted as part of a practice application (to be licensed as a CLC Recognised Body or as an ABS) will be considered and processed with the practice application and may take longer.
- g. Key personnel applications relating to existing CLC Practices. Individual Applications (HoLP/HoFA/Owner/Manager) related to an existing CLC regulated business as part of a pending ABS or Recognised Body conversion or change of ownership. Should contact the licensing team to verify the specific requirements. Note. These application MUST be accompanied by a Change of Ownership Form submitted by the Practice.

SECTION 6. Licensing decisions (Licences and Authorisations)

- a. The CLC must be satisfied that licensed individuals are able and willing to act in a principled manner and deliver the CLC Code of Conduct's Outcomes by complying with its Overriding Principles:-
 - Act with independence and integrity;
 - Maintain high standards of work;
 - Act in the best interests of Clients;
 - Comply with your duty to the court;
 - Deal with regulators and ombudsmen in an open and co-operative way; and
 - Promote equality of access and service.
- b. Applicant must satisfy the CLC they are a fit and proper person to practise as a CLC lawyer (*see item 8.22 of the Licensed Body (ABS) Licensing Framework for an overview of the type of factors taken into account when applying the fit and proper test*)

Our licensing judgements include (i) **minded to refuse**, (ii) **refusing to grant** and (iii) **approved**, i.e granted.

- c. The CLC may tell an applicant (licence and authorisation) that it is ***minded to refuse*** or is ***refusing to grant*** an individual licence where it is not satisfied that the individual <https://www.clc-uk.org/wp-content/uploads/2019/09/180626-CLC-Lawyer-framework.pdf>

- *When minded to refuse granting a licence*, the CLC will notify the applicant of the grounds of its concerns and invite the applicant to make representations to address the concerns or to resubmit improved documentation within one month of the date of the notification.
 - *When refusing to grant a licence*, the CLC will notify the applicant of the grounds on which the rejection was made and the applicants right for the determination to be reviewed.
 - Entitlement to appeal, <https://www.clc-uk.org/wp-content/uploads/2019/09/180626-CLC-Lawyer-framework.pdf>
 - *20. In any case where it decides to issue a Licence subject to conditions, to refuse an application for a Licence or to refuse an application for the removal or amendment of a condition on a Licence the CLC will notify the individual of the refusal of the application and of the grounds on which it has been refused. Under requirement 2, 4, 5 or 19, the applicant may within one month of publication of the CLC's determination appeal to the Adjudication Panel under section 29 of the 1985 Act. AND 22. If an application is deemed to have been refused as provided under requirement 17, the individual may within one month of the deemed refusal, appeal to the Adjudication Panel under section 29 of the 1985 Act.*
- d. **When a CLC licence is approved**, i.e. granted it will not be issued to the licensee until the Finance Team confirm to the Licensing Team receipt of payment for the appropriate licence fees.

Important information:

If you are applying to become a CLC Lawyer (Licensed Conveyancer, Licensed Probate Practitioner) or making any changes to an existing CLC licence the new licence will be issued in your legal name as it appears in your Passport. This applies to any newly issued licence.

- e. **Updating you on the progress of your application.** The CLC does not provide ad hoc updates on progression of applications. You will only be contacted during the process if we require further information. You should expect to hear from the Licensing Team as soon as a licensing decision has been made. If your CLC licence application is approved, we will email you with details of the total licensing fee and instructions how it should be paid.

- f. **Deferring the issue of an approved first qualifying licence.** When making a first qualifying licensing application it MUST be completed, i.e. you have paid the annual licence fee and the CLC has issued your first licence to you by 31 October in the current licensing year.

Important NOTE: Applicants that have been approved and who experience payment difficulties or a change in their work circumstances, such as unemployment/maternity leave/unplanned leave (for example health related), seeking to delay the issue of their first qualifying licence should contact the licensing team as soon as possible so that they can advise them of the timescales that apply to them.

Important information:

From January 2021 - If your approved first qualifying licence is not issued by the 31 October (*typically due to the non-payment of annual licence fees*) you will be required to submit and pay for an entirely new first qualifying licence application. Depending on how much time has lapsed since your application was approved, you may be required to pay for and complete fresh credit and criminality checks.

SECTION 7. Changes to an existing CLC licence [[published guidance](#)]

- a. **Manager Licence:** Individuals wishing to change from a current CLC Employed Licence to a CLC Manager Licence should complete a CLC Licence Change Request form (from employed to manager).
- b. **Employed Licence:** Individuals wishing to change from a current CLC Manager Licence to a CLC Employed Licence should complete an Employed Licence Change form (from manager to employed).

SECTION 8. Changes to your personal information

- a. The CLC will always verify any requests it receives to amend the information it holds about licence applicants and licensees. This information might include change of name, address or employment. If you need to make any changes to the information we hold about you please call the licensing team on 020 3859 0904 - who will then email you to verify and record any changes to your account details.

- b. You must notify the CLC immediately of any changes to the information provided the Licensing Application. **Failure to do so will result in delaying the processing of your application, the rejection of your application, or result in a review of any decision already made by the CLC.**

SECTION 9. Application and annual fees

- a. All licence applications are subject to a **non-refundable** administration fee, plus any costs for Credits Checks and is payable after the application has been submitted and verified as complete. Payment must be made by debit or credit card. **Note: A credit or debit card held in ANY name can be used to make payment.**
- b. Adverse Findings Extensions. The CLC reserves the right to charge additional fees, up to 2 days (14 hours charges at £80.00 ph.
- c. Published annual [FEES Table](#) COPY BELOW

Head of Legal Practice (HoLP) and Head of Finance and Administration (HoFA)	£240.00
First qualifying Manager Licence	£150.00
CLC Approved Manager (Lawyer)	£150.00
To change from a current CLC employed licence to a CLC manager licence	£75.00
First qualifying Employed Licence	£75.00
CLC Approved Manager (Non-Lawyer)	£75.00
Reinstatement of lapsed Employed Licence	£75.00
Reinstatement of lapsed Manager Licence	£150.00
Reinstatement of suspended Licence	£150.00

Request to add conveyancing or probate to an existing licence	£75.00
To change from a current CLC manager licence to a CLC employed licence	No Charge

- d. CLC calculates the first annual licence fee on a pro-rata basis (1st of the month at the date of issue to 1st November same year).
- e. CLC Annual Licence fees are as follows: Individual licensing fees can only be paid by credit or debit card.

CLC licence for 1. conveyancing; OR 2. probate; OR	£400.00
3. conveyancing AND probate services	£475.00

SECTION 10. Using your personal data

- a. Your details will be held by the CLC in accordance with the General Data Protection Regulations (GDPR). For the purposes of GDPR, if you provide any information to us, we will be the data controller.
- b. For further information about how your information is used, how we maintain the security of your information, and your rights to access information we hold about you, please see our privacy policy which is kept under regular review.
- c. You can contact our Data Protection Officer via email at privacy@clc-uk.org or in writing to:

**Council for Licensed Conveyancers, We Work, 131 Finsbury Pavement, London EC2A 1NT Main
Line: 020 3859 0904
END**