



Regulating
Property
And
Probate
Lawyers



The Specialist

**Property Law
Regulator**

Management & Supervision Arrangements Code

This Code must be read with the Code of Conduct. The Code of Conduct is the parent document of the CLC Handbook and Frameworks; it sits above all other Codes in our regulatory arrangements. The Code of Conduct prescribes six Ethical Principles of behaviour which are essential to delivering the specific Outcomes which sit beneath each of the Ethical Principles. All CLC regulated individuals and bodies are expected to comply with the Code of Conduct in the delivery of authorised reserved legal activities and permitted non-reserved legal activities.

The CLC also publishes several topic specific Codes addressing important areas of practice, including this Management and Supervision Arrangements Code. Topic specific Codes underpin the Code of Conduct and support regulated individuals and bodies in delivering the Ethical Principles and Outcomes of behaviour defined in the Code of Conduct. Topic specific Codes apply to all regulated activities carried out by the individuals or bodies specified in that Code.

In this Code 'you' refers to individuals and bodies regulated by the **CLC**. You must ensure that you always comply with the Code of Conduct and topic specific Codes and must not permit anyone else to act or fail to act in such a way as to amount to a breach of this Code, the Code of Conduct, or the Ethical Principles. Should circumstances arise in which there is an apparent conflict between a topic specific Code, the Code of Conduct, or any other regulatory requirement, you must ensure that you comply with the Code of Conduct. If in doubt, contact the CLC for advice.

~~-all individuals and bodies regulated by the CLC must comply with this Code. You must not permit anyone else to act or fail to act in such a way as to amount to a breach of this Code.~~

Outcomes Focused

The **Code of Conduct** requires you to deliver the following **Outcomes**:

- ~~Clients are provided with a high standard of legal services (Outcome 2.1) Client matters are dealt with using care, skill and diligence; (Outcome 2.2)~~
- ~~Appropriate arrangements, resources, procedures, skills and commitment are in place to ensure Clients always receive a high standard of service. (Outcome 2.3)~~

You must ensure that you have aAppropriate management and supervision **arrangements in place** and that help you deliver these **Outcomes** and require you to act in a principled way:

1. ~~Maintain high standards of work. (Overriding Principle 2)~~

2.1. ~~You ensure all individuals within the entity are competent to do their work. (CoC P2e)~~

3.2. ~~You supervise and regularly check the quality of work in **Client matters. (CoC P2d)~~**

4.3. ~~You **systematically identify and mitigate risks to the business and to **Clients**. (CoC P2f)~~**

5.4. ~~You promote ethical practice and compliance with regulatory requirements. (CoC P2g)~~

6.5. ~~You enable staff to raise concerns which are acted on appropriately. (CoC P2h)~~

7.6. ~~You maintain proper governance, management, supervision, financial and risk management **arrangements and **control** and maintain proper records to evidence how they are applied. (CoC P2i)~~**

~~8. You maintain proper records to evidence your **arrangements** and how they are applied. (CoC-P2e)~~

You must also comply with the following **specific requirements**:

~~9.7. A **Manager** who is an **Authorised Person** is responsible for ensuring that all of the entity's **employees** are properly supervised. (CoC-P2m)~~

~~10.8. You make provision for alternative supervision **arrangements** in case of illness, accident or other unforeseen event. (CoC-P2n)~~

~~11.9. You **systematically** identify, monitor and manage risks to the delivery of ~~this Code's~~ the **Code of Conduct** Outcomes. (CoC-P5j)~~

~~10. You carry on Reserved Legal Activity only through a person entitled to carry on that activity.~~

~~12.~~

Should you require guidance information on how to meet your responsibilities under this Code, please see the

CLC's Management and Supervision Arrangements Guidance ~~Arrangements Guidance~~.

IN FORCE FROM 1 JANUARY 2025