



Council for
**Licensed
Conveyancers**
Corporate Strategy
2009 - 2014

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Introduction

We are pleased to present the CLC's corporate strategy for the period 2009 to 2014. The strategy outlines our vision and key priorities over the next five years in response to the challenges that we foresee the CLC facing during that period.

We are developing our future strategy at a time when the property market is experiencing a downturn and we are conscious of the challenges that the regulated community is currently facing and the inherent

risks to consumers arising from such market conditions. However, our strategy assumes that the property market will experience an upturn over the next few years and that the Legal Services Act will facilitate the introduction of a diverse choice of regulated providers for the benefit of consumers.

We welcome the additional choice of providers that consumers will have in the future but we also recognise that different types of risks may arise. Consequently, we

will aim to adapt our regulatory approach to effectively address the changing landscape of legal services.

We recognise that we can only achieve our aims over the next five years by working effectively in partnership with our key stakeholders and we are committed to increasing our collaboration with those partners who share our overarching goal to protect consumer choice in the sectors that we regulate.



Alistair Guthrie
Chairman



Victor Olowe
Chief Executive

WHO WE ARE

The Council for Licensed Conveyancers (“the CLC”) was established under the provisions of the Administration of Justice Act 1985 as the Regulatory Body for the profession of Licensed Conveyancers. Its statutory duty is to ensure that the standards of competence and professional conduct amongst persons who practise as Licensed Conveyancers are sufficient to secure adequate protection for consumers. The Act (as amended by the Courts & Legal Services Act 1990) also created the CLC as the body responsible for the supervision and regulation of the newly formed profession.



Council for
**Licensed
Conveyancers**

OUR PURPOSE

To set entry standards and regulate the profession of Licensed Conveyancers effectively in order to

- secure adequate consumer protection
- promote effective competition in the legal services market
- provide choice for consumers

WHAT WE DO

The CLC fulfils its responsibilities by undertaking a range of activities, which are outlined as follows

- Set educational and training standards for entry to the profession
- Issue licences to practise to those qualified to provide conveyancing services to clients
- Maintain a register of all Licensed Conveyancers
- Set standards to regulate the professional practice, conduct and discipline of Licensed Conveyancers
- Set standards to maintain adequate professional indemnity insurance and a compensation fund to protect the public
- Undertake forensic investigations and practice inspections to monitor the work and conduct of Licensed Conveyancers and to determine whether they are meeting the required standards
- Provide guidance and advice to Licensed Conveyancers to maintain compliance with the standards and those regulations relevant to our duty of consumer protection

- Investigate complaints against a Licensed Conveyancer and order redress for the client for poor service where appropriate
- Investigate allegations of misconduct against a Licensed Conveyancer and where appropriate take disciplinary proceedings before the Discipline and Appeals Committee
- Collaborate with key stakeholders in the conveyancing services market to monitor and shape the impact of proposed regulations on the conduct of Licensed Conveyancers in order to maintain adequate consumer protection

OUR STATUTORY OBJECTIVES – STRATEGIC OUTCOMES

We are bound by our statutory objectives which detail the strategic outcomes that we aspire to achieve for the public, consumers and the regulated community.

The statutory regulatory objectives referred to in the Legal Services Act 2007 are outlined as follows

- a) Protecting and promoting the public interest
- b) Supporting the constitutional principle of the rule of law
- c) Improving access to justice
- d) Protecting and promoting the interests of consumers
- e) Promoting competition in the provision of services by ‘authorised persons’ as defined in the Act
- f) Encouraging an independent, strong, diverse and effective legal profession
- g) Increasing public understanding of the citizen’s legal rights and duties
- h) Promoting and maintaining adherence to the professional principles

OUR VISION FOR 2014

Our vision for the regulated environment in the legal services market is for the public to have great confidence in the CLC to protect their interests and therefore be willing to engage increasingly with the providers regulated by the CLC. Our vision is -

'To be recognised as a leading, trusted and proportionate regulator in the legal services market, regulating a range of providers of conveyancing, probate and other related services, which are highly regarded by consumers across England and Wales.'

STRATEGIC THEMES

Our strategic priorities over the next five years are grouped under the following strategic themes, which are collections of related strategic objectives

- 1 Deliver efficient, effective and proportionate risk based regulation
- 2 Increase the number and categories of regulated providers
- 3 Increase engagement with key stakeholders particularly with consumers
- 4 Increase the uptake of the CLC's educational programmes and qualifications
- 5 Increase the scope of regulatory support to regulated providers
- 6 Develop our organisational capability to achieve all the strategic themes

OUR OPERATING PRINCIPLES

The following principles serve as an internal compass which guides our actions and how we perform our regulatory activities

- We will endeavour to utilise the least intrusive methods of achieving our regulatory objectives
- We will endeavour to ensure that our regulatory interventions are based on reliable evidence and are proportionate, consistent, accountable and transparent
- We will ensure that our work reflects the priorities of consumers
- We will consult effectively with key stakeholders
- We will use our resources effectively and efficiently to deliver our strategic priorities

OUR VALUES

The following values are an intrinsic part of how we operate and underpin all our decisions and actions

INTEGRITY

This means acting professionally and being accountable in all that we do

EFFECTIVENESS

This means that we provide reliable and recognised qualifications and maintain the standards of competence and professional conduct of Licensed Conveyancers and Recognised Bodies in the interest of consumers

EXPERTISE

This means that we define and promote better practice in partnership with licence holders, recognised bodies, other professional bodies, partners and other stakeholders

INNOVATION

This means that we continuously look for new and better ways to protect consumers and the public and to support students, licence holders, recognised bodies, employers, partners and other stakeholders

COMMUNICATION

This means that we encourage open, clear, productive and valuable communication between ourselves and everyone we come into contact with

How our strategic themes link to our statutory objectives

Statutory Objectives	Strategic Themes					
	Risk based regulation	Increase regulated providers	Improve engagement with stakeholders	Increase uptake of education	Increase regulatory support	Develop our organisational capability
Protect and promote public interest	■		■			■
Support the constitutional principle of the rule of law	■					■
Improve access to justice		■				■
Protect and promote the interests of consumers	■		■	■		■
Promote competition in provision of services		■				■
Encourage an independent, strong, diverse and effective profession		■		■	■	■
Increase understanding of citizen's rights and duties			■			■
Promote and maintain adherence to professional principles	■			■	■	■

■ Represents Contribution to the Statutory Objectives

STRATEGIC OBJECTIVES Strategic Theme **1** - Deliver efficient, effective and proportionate risk based regulation

Key Objectives	Key Activities	Key Performance Indicators
<p>1.1 To set standards to ensure that the profession maintains standards of competence and professional conduct that meet the needs of consumers of legal services and other key stakeholders</p>	<ul style="list-style-type: none"> To review all the rules to enhance simplicity and consistency To identify the needs of the consumers where appropriate prior to the rule making process and ensure that they are addressed To develop rules to respond to the Legal Services Act 2007 in particular with regard to Legal Disciplinary Practices and Alternative Business Structures 	<ul style="list-style-type: none"> Publish list of all rule changes on the website 80% of the regulated community acknowledge that the rules are clear and consistent Demonstrate how consumer insight has been used to promote change
<p>1.2 To maintain robust licensing and relicensing processes for regulated entities and individuals</p>	<ul style="list-style-type: none"> To assess all applications effectively to ensure the competence of students and other lawyers awarded the licence to practise as a Licensed Conveyancer meets the required standards 	<ul style="list-style-type: none"> Ratio of conduct complaints per licence holder decreases year on year
<p>1.3 To maintain the mechanisms that ensure that all consumers who use regulated providers can rely on the service to meet the required standards and ensure that, if things go wrong, the consumer is satisfied with the regulatory action taken</p>	<ul style="list-style-type: none"> To review our approach to enforcement to ensure our actions are proportionate and to enhance the enforceability of our rules To monitor the accredited training providers to ensure the quality of the training programme provided meets the agreed standards To carry out risk based checks on all practices to identify if they are meeting the required standards To ensure that there is a responsive and effective mechanism for dealing with any concern about the service and conduct from a regulated provider 	<ul style="list-style-type: none"> 90% of Licensed Conveyancers acknowledge that accredited training providers provide good quality programmes 80% of inspections are targeted to regulated providers that pose the greatest risk to the achievement of the CLC's objectives 80% of regulated providers following inspections are meeting the required standards 80% of consumers and stakeholders confirm that the CLC handled concerns about a regulated provider fairly and effectively
<p>1.4 To reduce unnecessary administrative burdens arising from the regulatory framework</p>	<ul style="list-style-type: none"> To undertake an extensive review of all our regulatory functions To review and revise all regulatory forms to make them more user friendly, easier to complete and to reduce the duplication of information collection 	<ul style="list-style-type: none"> To reduce the unit cost per regulated provider by 10%
<p>1.5 To develop and implement a risk based approach across all our regulatory functions</p>	<ul style="list-style-type: none"> To develop the infrastructure for risk based regulation To develop and implement an effective and dynamic risk assessment methodology To develop and implement a more effective way to collect information to support a risk based approach 	<ul style="list-style-type: none"> 80% of the regulated community acknowledge the CLC as an effective regulator 80% of the regulated community acknowledge the CLC as a proportionate regulator Oversight regulators rate the CLC as a proportionate regulator
<p>1.6 To provide a timely and responsive service on all casework and regulatory applications</p>	<ul style="list-style-type: none"> To ensure all applications for recognition, student registration, licence authorisation and renewals are processed within agreed timescales To ensure all claims and grants from the Compensation Fund are dealt with within agreed timescales and quality standards To ensure that all disciplinary matters referred to the Discipline and Appeals Committee (DAC) are dealt with in accordance with the guidelines and within agreed timescales To process all consumer complaints in accordance with agreed performance targets 	<ul style="list-style-type: none"> All targets exceeded 90% of claimants are satisfied with the handling and outcome of their claim 80% of decisions from the DAC agree with the recommendations of the Executive
<p>1.7 To comply with statutory obligations in order to maintain public confidence in the CLC's regulatory framework</p>	<ul style="list-style-type: none"> To ensure that the CLC acts in accordance with its legal powers and duties To ensure we meet our legal obligations with regard to all relevant legislation 	<ul style="list-style-type: none"> No successful challenge against the CLC with regard to the use of its statutory powers No adverse finding against the CLC due to non compliance with legislation

Strategic Theme 2 - Increase the number and categories of regulated providers

Key Objectives	Key Activities	Key Performance Indicators
2.1 To ensure consumers have access to regulated providers in those geographical areas where consumer need for regulated providers by the CLC is not being met	<ul style="list-style-type: none"> To improve consumer access to regulated providers in the geographical areas where the consumer need for choice is not being met 	<ul style="list-style-type: none"> CLC regulates 25% of the providers in the sectors in which it operates
2.2 Increase the range of services provided by regulated providers	<ul style="list-style-type: none"> To identify the specialist areas of law where consumer needs for choice of regulated providers are not being met To promote awareness to the regulated community of the consumer need for choice of provider in those areas of law which are underrepresented by providers regulated by the CLC To promote the training and development opportunities provided by the CLC to enhance the competence of regulated providers in specialist areas which are disproportionately underrepresented by providers regulated by the CLC 	<ul style="list-style-type: none"> Regulated providers provide the full range of services in the sectors regulated by the CLC

Strategic Theme 3 - Increase engagement with key stakeholders particularly with consumers

Key Objectives	Key Activities	Key Performance Indicators
3.1 To ensure key stakeholders including consumers know what the CLC does and is responsible for and how to access the regulatory services	<ul style="list-style-type: none"> To develop and publish our approach for the publication of regulatory decisions To develop and implement a consistent methodology to incorporate impact assessments on all major regulatory policies where the publication would be proportionate to the policy issues under consideration. To maintain an up to date web-based register of regulated providers which provides stakeholders with the information they need To maintain a website which is accessible and informative and increases the use of the CLC services available online To publish an authoritative, relevant, informative corporate magazine to increase awareness of the CLC whilst maintaining its relevance to the day-to-day work of regulated providers 	<ul style="list-style-type: none"> 80% of stakeholders confirm that the CLC consults with them effectively 80% of consumers are aware of the role of CLC in the sectors in which it regulates 80% of the media coverage referencing the CLC is accurate and positive 80% of stakeholders agree that the CLC is a trusted source of information in the sectors in which it regulates 80% of stakeholders agree that the CLC communicates effectively through all communication channels 80% of the regulated community agrees that the corporate magazine is relevant to their daily operations 60% of transactional processes with our customers are delivered through our website
3.2 To provide accessible, user friendly and understandable information to key stakeholders	<ul style="list-style-type: none"> To review and revise CLC consumer literature and maintain a process of regular review for all publications 	<ul style="list-style-type: none"> Central log of all CLC publications is maintained with details of the review dates
3.3 To ensure that all statutory communication requirements are met	<ul style="list-style-type: none"> To produce and publish on our website accurate and informative Annual Reports incorporating a Statement on Internal Control 	<ul style="list-style-type: none"> Annual Report published on the website in June of each year.
3.4 To collaborate effectively with key stakeholders to achieve better outcomes for consumers and the public	<ul style="list-style-type: none"> To undertake regular research to gather the views and opinions of key stakeholders in order to improve the delivery of regulatory services To participate actively in industry groups or forums in the sectors in which we regulate To share our ideas, views, opinions at appropriate external events and through relevant media activity 	<ul style="list-style-type: none"> CLC is a member of the strategic groups responsible for shaping and influencing the policy which impacts on consumers in the sectors in which the CLC regulates

Strategic Theme 4 - Increase the uptake of the CLC's educational programmes and qualifications

Key Objectives	Key Activities	Key Performance Indicators
4.1 To deliver quality educational services and products that meet the needs of students.	<ul style="list-style-type: none"> To improve the quality of the educational and examination experience for all students registered with the CLC To identify opportunities to provide additional educational services and products that are beneficial to students 	<ul style="list-style-type: none"> 80% of students are satisfied with the educational services and products provided by the CLC 90% of eligible students are retained for the next academic year
4.2 To improve awareness of the educational programmes and qualifications offered by the CLC	<ul style="list-style-type: none"> To develop and implement a cost effective publicity campaign targeting new entrants to higher education 	<ul style="list-style-type: none"> 80% of students entering higher education in law are aware of the qualifications offered by the CLC
4.3 To improve the portability of the qualifications provided by the CLC	<ul style="list-style-type: none"> To obtain national recognition for all the qualifications provided by the CLC 	<ul style="list-style-type: none"> 10,000 students are registered with the CLC to undertake a range of educational programmes and qualifications
4.4 To improve access to the CLC qualifications	<ul style="list-style-type: none"> To increase the number of accredited training establishments providing the CLC education programmes To provide up to date training manuals and information on accredited training establishments that have the appropriate educational infrastructure and the tutors who have the requisite experience and qualifications that will enable students to reach the required level of competence 	<ul style="list-style-type: none"> CLC's educational programmes can be accessed through main stream universities
4.5 To develop a range of qualifications and educational programmes to increase expertise across all the areas of work regulated by the CLC and to recognise the competence of all staff directly involved in the delivery of regulated services	<ul style="list-style-type: none"> To develop Continuous Development Programmes (CPD) to enable regulated individuals to acquire specialist skills across the spectrum of the areas of work regulated by the CLC To develop a system of recognition for the acquisition of specialist skills across the spectrum of the areas of work regulated by the CLC To develop qualifications for support staff involved in the delivery of regulated services by providers regulated by the CLC 	<ul style="list-style-type: none"> Increase in CPD resources Increase in the number of accredited specialists across the areas regulated by the CLC Number of new qualifications introduced

Strategic Theme 5 - Increase the scope of regulatory support to regulated providers

Key Objectives	Key Activities	Key Performance Indicators
5.1 To be a centre of expertise in the sectors regulated by the CLC	<ul style="list-style-type: none"> To systematically monitor the markets in which regulated providers operate to identify risks to consumers and the public and to publish the CLC's perspective on such issues 	<ul style="list-style-type: none"> Key stakeholders acknowledge the CLC as a thought leader in the sectors in which it regulates
5.2 To provide advice and guidance to the regulated community to enable them to maintain compliance with all relevant regulatory requirements	<ul style="list-style-type: none"> To produce guidance in topic areas that are relevant to the regulated community To produce guidance that is clear, timely and of good quality and in the format appropriate for the target audiences which explains what regulated providers need to do in order to maintain compliance with the rules and to adopt good conveyancing, probate and accounting practices. To alert regulated providers to all changes in the rules that impact on their practices at least eight weeks before implementation To identify emerging issues in the external environment and changes in law and practice that will have a major impact on the services provided by regulated providers and provide information that explains what is required of regulated providers To develop a process to systematically review all guidance at periodic intervals To deliver regional workshops and seminars across England and Wales To introduce a helpline to provide consumers and the regulated community with bespoke guidance and advice To develop a range of tools to provide practical support to new practices 	<ul style="list-style-type: none"> 80% of the regulated community acknowledges that the CLC produces adequate guidance to maintain compliance with all regulatory requirements. 80% of new regulated providers acknowledge that the CLC provides adequate regulatory support to enable them to operate effectively in their first year of operation

Strategic Theme 6 - Develop our organisational capability to achieve the strategic objectives

Key Objectives	Key Activities	Key Performance Indicators
6.1 To review all key processes and activities to ensure that we operate in the most effective way	<ul style="list-style-type: none"> To streamline business processes to enhance effectiveness and efficiency To develop and implement an annual internal review process to ensure that our regulatory activities are proportionate, accountable, consistent, transparent and targeted To develop and implement a structured process to obtain regular feedback from our stakeholders on our key regulatory activities To secure alternative office premises that will enable us to more effectively achieve our strategic objectives To ensure any risks in achieving our corporate objectives are identified, managed and mitigated To ensure that our support functions are delivered efficiently and cost effectively to meet the needs of internal and external customers 	<ul style="list-style-type: none"> 80% of the regulated community acknowledge the CLC as an effective regulator 80% of the regulated community acknowledge the CLC as a proportionate regulator Internal review process developed by 2011 and summary of results presented to the Council annually Feedback audit developed by 2010 Statement on Internal Control published in the Annual Report 80% of internal customers are satisfied with the services delivered by the support functions
6.2 To attract, develop and retain talented people with the right skills and behaviours and maintain highly committed and motivated staff to achieve the CLC's strategic themes	<ul style="list-style-type: none"> To shape the skills profiles of the staff in order to deliver the CLC's strategic themes To refine the performance management framework to embed the behaviours which support the achievement of the strategic themes and to incorporate a 360 degree review process To develop and implement a structured process to obtain regular feedback from the staff To develop an organisational culture which consistently demonstrates the values of the organisation and enables the staff to provide customer focused services To improve our leadership and management capability in the organisation particularly to develop the skills of all managers to identify opportunities for efficiency savings and make necessary improvements 	<ul style="list-style-type: none"> 90% of staff rates the CLC as a good employer and as a great place to work Retain Investors In People accreditation All line managers rated as effective leaders by staff, peers and Council members by 2010 All managers demonstrate efficiency savings achieved in their respective departments each year
6.3 To ensure that the CLC has governance arrangements which promote accountability and enable decisions to be made at the appropriate level and in a timely manner	<ul style="list-style-type: none"> To fully implement all the recommendations arising from the Governance Review, in particular to appoint a new Council and new Committee members To improve transparency of our governance arrangements by publishing the outputs of Council and Committee meetings on our website 	<ul style="list-style-type: none"> New Council in place by 2010 Outputs of Council and Committee meetings published on the website by 2011
6.4 To ensure that the CLC has sufficient income to meet the costs of ongoing regulatory activity and the costs and obligations of the Compensation Fund	<ul style="list-style-type: none"> To develop a revised fee strategy to align with the risk based approach and the increasing focus on entity based regulation 	<ul style="list-style-type: none"> Maintain reserves of at least 12 months expenditure based on the preceding annual budget
6.5 To reduce the CLC's impact on the environment	<ul style="list-style-type: none"> To adopt excellent sustainable working practices 	<ul style="list-style-type: none"> Reduction in carbon footprint
6.6 To utilise information technology more effectively to improve efficiency and customer service keeping pace with current developments	<ul style="list-style-type: none"> To ensure the IT infrastructure of the CLC enables us to cost effectively and efficiently meet our strategic objectives To improve management information in the organisation to support better decision making and to demonstrate accountability to key stakeholders To increase web based delivery of regulatory services To increase the electronic exchange of information with the regulated community and other relevant external key stakeholders 	<ul style="list-style-type: none"> Increase in digital traffic and usage

