

Council for Licensed Conveyancers - Regulatory performance assessment

REGULATORY APPROACH					AUTHORISATION					SUPERVISION				ENFORCEMENT						WELL-LED					
1	2	3	4	5	1	2	3	4	5	1	2	3	4	1	2	3	4	5	6	1	2	3	4	5	6

Met		Not met – action being taken		Not met – action required	
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Action being taken

Outcome	A5: The regulator's list of those they regulate is accessible, accurate and provides information on the disciplinary records of those regulated.
LSB Assessment	The CLC has made progress in redeveloping the online register. It has confirmed that disciplinary records will be included in the register in the future and that it is redesigning the online register to include more details and linking these to its databases. This work is scheduled to be completed in Q4 2019. This is a key requirement to meet this outcome, so until disciplinary records are included we cannot consider this outcome as met.
Action	The CLC to ensure that the register of those regulated is easily accessible and contains information on all disciplinary action taken against individuals or entities.
Timing	CLC to complete this work by 30 November 2019. LSB to review progress in May 2019.
Outcome	E6: The regulator clearly explains the reasons for its decisions to take or not to take things forward at each stage of the process.

LSB Assessment	We understand the CLC is reviewing its approach to keeping complainants informed of enforcement decisions. We cannot consider this outcome fully met until this has been completed.
Action	The CLC to share with the LSB the outcome of its current review on how much complainants should be involved in enforcement processes and how much information should be published on the CLC website
Timing	CLC to complete this work by 31 May 2019 when the LSB will review progress.
Outcome	WL3: The regulator is transparent about its own: decision-making; regulatory approach; the risks it and its regulated community faces and how these are being mitigated; performance; regulated community and related markets; financial costs.
LSB Assessment	<p>(1) While the CLC does publish some details about supporting evidence for decisions made by its Council or Executive which impact on its regulated community, we consider that it is not sufficiently transparent in this regard. For example, in respect of consultation responses and how it has addressed them it could publish more information and do so more promptly. We therefore cannot consider this outcome to be met until the actions below are completed.</p> <p>(2) While the CLC does currently publish some performance information on how its Board holds the executive to account, we consider that it is not sufficiently transparent in this regard, and that it could publish more information and do so more promptly. In particular, while we noted that the CLC has published its Council minutes and accompanying papers up to April 2018, these are often significantly redacted.</p>
Action Action	<p>(1) CLC to review current publication policy and ensure that the supporting evidence for decisions taken by its Council or Executive which impact on the regulated community are published as soon as possible after decisions are taken. This should include Council papers which should only be withheld or have content removed in limited circumstances.</p> <p>The CLC to review its consultation processes as noted in paragraph 15 of the LSB's 30 August 2018 Decision Notice on the CLC's application for approval of amendments to its regulatory arrangements aiming to improve cost and service transparency. It should seek to identify where parties are likely to be affected, ensure that consultations are brought to their attention and that they have sufficient time to respond. It should publish non-confidential versions of responses to consultations on its website. CLC decisions should clearly and fully</p>

	<p>address points raised in responses to consultations and demonstrate how they had been taken into account in its decision making.</p> <p>(2) CLC to review transparency of performance information (e.g. KPIs and performance reports, complaints about the regulator etc.) and that this information should be published as soon as possible after Council consideration.</p>
Timing	Work to be completed by 31 May 2019 when the LSB will review progress.