

Council for Licensed Conveyancers

**Annual Regulatory Return Analysis
2015**



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Foreword

This report looks at the findings of our detailed 2015 survey of the profession that we regulate. This iteration of the CLC Annual Regulatory Return was very broad in scope and responding to it is a regulatory requirement. This report is a comprehensive view of the profession that will provide an excellent baseline against which to monitor the evolution of the specialist conveyancing and probate sector regulated by the CLC. Analysis of the information provided not only gives a detailed picture of the individual firms but of the whole sector and how the market in general is operating.

The Council for Licensed Conveyancers prides itself on its good knowledge of the community of specialist property lawyers that we regulate. The Annual Regulatory Reviews that have been carried out in the past have enhanced our insight and allowed us from time to time to probe specific areas of interest or concern that have emerged over the years. So it is perhaps heartening that the findings of the 2015 survey contain little that surprise us.

I would like to draw out five key points that emerge strongly from this report for me and the actions that the CLC and the regulated community will need to take to address them.

Innovation

The CLC's regulated community is at the forefront of the development of the new forms of legal practice that were established by the Legal Services Act 2007 as can be seen from the mix of Authorised Persons leading CLC firms reported here. This is a reflection of the entity-based approach to regulation. Diverse groups of legal professionals have joined together with a focus on client service in the mass property legal services market in the new forms of entities introduced by the the2007 Act.

Action – *As we review the CLC's Handbook in 2016 and as we carry out all of our regulatory work, we must focus on how we can continue to improve our support to innovative firms so that we foster more competition and growth in the conveyancing and probate markets.*

Specialisation

This report underlines the extremely high degree of specialisation by area of work – residential conveyancing and probate – and type of client. The market segmentation set out here makes our task and priorities very clear: protection of the private client when engaged in infrequent use of specialist legal services while supporting further innovation in the delivery of specialist legal services.

Action – *We must continue to deliver the CLC’s strategy to explore and exploit the strengths of specialist regulation of specialist lawyers. This facilitates appropriate regulatory approaches that are tailored to the specific risks in property law services.*

Accessibility

The CLC-regulated community is dominated by women. Women make up the majority of all staff in the sector and the majority of managers. This sets Licensed Conveyancers apart from other branches of the legal profession, where female entry levels are also high but where career progression is more difficult for women. As we add to the routes to qualification as a Licensed Conveyancer or Probate Practitioner, access to the profession will continue to widen and diversity within it increase.

Action – *New qualifications for conveyancers and probate practitioners and the introduction of apprenticeships as well as other new routes should broaden the profession’s intake further. The CLC will work with firms to ensure that they have in place progression and succession policies that support the career development of each individual in that intake regardless of their gender expression, ethnicity, belief, socio-economic background, sexuality or age.*

Supervision

There are high numbers of non-legally qualified staff working on the delivery of legal services. This is not in itself a problem, but does mean that we need to ensure that the high levels of supervision reported in this survey are effective. The levels of complaints received would not seem to indicate that there is a major cause for concern, but this is an area that will continue to be examined closely through routine monitoring as well as inspection visits.

Action – *Monitoring activity will look more closely at supervision gearing. New intermediate qualifications as Conveyancing and Probate Technicians, created in response to employer demand, will become available in 2016 and we hope that many employers will take advantage of those to provide a better understanding of the skills and expertise of non-Authorised Persons in their teams.*

Consumers

The reported rate of conversion from consumer enquiry to purchase of services, of about two out of three might be seen to indicate that consumers are not shopping around as much as might be expected. Use of satisfaction surveys could also be extended across all firms to drive better understanding of the consumer experience. The CLC is committed to working with the other legal regulators to improve consumer understanding of legal services.

Action – *The CLC is working with the other front line legal regulators to undertake joint research into consumer experience and expectation. Also with other regulators, we are seeking to increase the use of the Legal Choices website, which provides useful advice to consumers on the use of legal services. We provide data on the regulated community to comparison website providers who encourage shopping around and we will encourage wider use of customer satisfaction surveys.*

Even though it was a mandatory requirement, I am grateful to all those who took their time to respond so fully to a very extensive questionnaire. I hope this report will prove useful to the profession as well as to the CLC as its regulator and to other regulators and researchers across the legal sector. We will be using it as a baseline against which to track the evolution of the market and innovation in conveyancing and probate. As such, it will inform the continuous development of our approach to specialist regulation of property law.

Sheila Kumar
Chief Executive

Introduction

Since it was established in 1985, the Council for Licensed Conveyancers (CLC) has had responsibility for the regulation of a diverse and expanding group of conveyancing, and latterly probate, practices. It keeps abreast of their work through routine communications, examination of business plans, bank reconciliations, accountants' reports, insurance documents, and a programme of inspection visits. While these monitoring activities are invaluable for discovering information about individual practices, it is also important to piece together an overview of the licensed conveyancing sector as a whole.

The annual regulatory return is a mandatory survey of all CLC-regulated practices. Its purpose is to gather data on a range of issues that cannot be adequately evaluated and is based on the data we are already collecting for other purposes. In summer 2015, practices that had been trading for at least nine months in the previous calendar year, were sent a link to an online questionnaire, with an accompanying request that it be completed by a manager. This report is an analysis of their responses, and it will focus on three broad areas – Market Segmentation, Workforce, and Dealing with Clients:

- The **Market Segmentation** section is concerned with building up a picture of the market for licensed conveyancers' services, including an examination of turnover, location, competitors, type of work, clientele, and relationships with mortgage lender panels.
- The **Workforce** section covers sole practitioners, managers, employees, the supervision of non-authorised persons, gender equality, and succession planning.
- The **Dealing with Clients** section addresses communications, the rate at which practices convert approaches to clients, and complaints.

When carrying out surveys of this sort, there is an understandable desire for them to uncover hidden truths, which surprise or even shock the intended audience. However, the findings we uncovered tend to conform quite closely to our initial expectations. The lack of surprise results suggests that we have a good understanding of the shape and structure of the sector. The benefit of the survey is that it builds on our knowledge of the sector and provides a good baseline from which to measure its evolution.

In addition to providing a fuller, more accurate understanding of Licensed Conveyancing practices and the world in which they operate, information gathered in the annual regulatory return is now being used by the CLC to inform risk ratings, directly improving the focus and impartiality of its regulatory activities. A large collection of standardised data – even if it is self-reported – can be used to make comparisons between practices, with outliers signalling the need for closer investigation. It may well be that when outliers are investigated further, the CLC will conclude that there is no reason for concern; but it is also possible that this kind of data-driven targeting of investigatory resources will reveal real problems that are not immediately apparent, and may otherwise have been overlooked. By taking some elements of practices' responses to the annual regulatory return, and using these data alongside information from

other sources, the CLC will develop a more objective, consistent and reliable indicator of regulatory risk.

Executive Summary

Scope and Purpose

- The annual regulatory return is an annual survey of legal practices regulated by the Council for Licensed Conveyancers (CLC). In past years, it has focused in on areas of particular concern. In 2015 we undertook an extensive survey of a broad range of measures.
- This report therefore provides an overview of the current state of the CLC's licensed community, and a useful additional source of data for developing more quantitatively driven, objective measures of risk.

Method

- The annual regulatory return's primary source of data source was an online survey of practices that had been trading for nine to 12 months in the 2014 calendar year. Most questions pertained specifically to the practices' make-up and activities during that period.
- Some 214 practices responded to the survey, though not all completed all the elements to the same high standard.
- It was decided that the primary frame of reference for analysing this data would be by turnover band. The same criteria are used to determine the fees that regulated practices must pay to the CLC.
- Breaking down the analysis by the size of practices' turnovers should provide useful information for both regulators and practitioners. In many instances, findings are represented in tables, which show the minimum and maximum values, lower and upper quartiles, and median and mean averages. Together these offer a good overview of what might be expected from practices in different turnover bands, and could be used as a guide when evaluating performance, whether as part of a risk assessment, or for commercial reasons.

Location

- Almost half of the offices of CLC-regulated practices (47.7 percent) are located in just three regions: South-East England (21.7 percent), North-West England (13.7 percent), and South-West England (12.3 percent).
- Although they can operate throughout the whole of England and Wales, most CLC-regulated practices operate within relatively small geographical areas. To develop a

better understanding of the situation, the annual regulatory return divides England and Wales into 12 regions.

- Almost half of practices (49.4 percent) claim to have a substantial portion of their completions or grants of probate originating from one of just four regions: South-East England (18 percent), South-West England (11.6 percent), North-West England (10.6 percent), or Outer London (9.2 percent).
- 85.5 percent of all practices had most of their completions or grants of probate originate in just a single region.

Competitors

- The most commonly reported characteristics of businesses that CLC-regulated practices' regard as their "main competitors" suggest that they are:
 - medium-sized (70.5 percent),
 - local (50.0 percent) and,
 - regulated by the Solicitors Regulation Authority (73.2 percent).

Type of Work

- We asked respondents to estimate the proportion of their practices' workload that was made up of each of four categories of activity: residential conveyancing; commercial conveyancing; wills, probate or trusts; and, non-reserved legal activities regulated by the CLC.
- Residential conveyancing was by far the greatest part of work for all practices, ranging from almost 80 percent for those in the lowest turnover band to more than 97 percent of those in the highest band.

Consumers

- Of those using the services of CLC-regulated practices, 93.8 percent are private consumers, and 5 percent are small or medium-sized businesses or charities without their own legal advisors.
- The median average number of clients per practice was 400. The mean was 1,776, (a figure raised substantially by a small proportion of practices in the highest turnover band, with very large numbers of transactions).

Sole Practitioners

- Sole practices make up almost one-third of all practices, but more than two-thirds of practices in the lowest turnover band.

Managers

- 87.2 percent of practices in the survey have at least one manager who is a licensed conveyancer and licensed conveyancers make up the largest proportion of managers – 47.2 percent.
- The next largest groups of managers were non-authorized persons (18.6 percent), and solicitors (14.1 percent); although of these two groups solicitors were spread across a greater number of practices.
- The average number of managers per practice overall was 3.3, but this ranges between 1.6 for practices with turnover between £0 and £100,000 and 10.3 for those with turnover in excess of £3,000,000.
- 80.9 percent of managers work exclusively in conveyancing, 5.6 percent work exclusively in probate, with 13.5 percent doing some combination of the two.

Employees

- Almost 95 percent of employees in CLC-regulated practices are members of one of the four following groups:
 - non-authorized persons, excluding students or trainees (69.3 percent),
 - students or trainees (10 percent),
 - licensed conveyancers (7.8 percent), or
 - solicitors (7.7 percent).
- Just over 20 percent are authorized persons.
- The average number of employees per practice was 20.7.
- 92 percent of employees work exclusively in conveyancing, 2.4 percent work exclusively in probate, with 5.6 percent doing some combination of the two.

Supervising Non-Authorised Employees

- Although 66.9 percent of practices have at least one non-authorized employee, just 24.4 percent of practices use those employees to carry out reserved legal activities.

- Excluding sole practitioners, respondents said that the ideal ratio of non-authorized employees to properly licensed supervisors is 3.1:1.
- The actual number of non-authorized employees to properly licensed supervisors is just 1.9:1.
- 87.1 percent of respondents maintained constant supervision of non-authorized employees, carrying out reserved legal activities, and 100 percent said that supervision was conducted on-site.
- Just over half of non-authorized employees carrying out reserved legal activities have more than 10 years of relevant experience.

Gender Equality

- Almost four-fifths of the people working in CLC-regulated practices are women.
- Men make up 21.4 percent of the total workforce, but 41.4 percent of managerial roles.
- Women still make up the majority of managers - 58.6 percent.

Succession Planning

- 38.2 percent of CLC-regulated practices have a formal succession plan.
- Less than half have in place recruitment policies (47.3 percent), selection policies (44.3 percent), or progression policies (44.3 percent) to promote equality of opportunity.
- A majority of practices with turnovers in excess of £3,000,000 have succession policies (62.5 percent), but so do those with turnovers of £100,000 or less (57.1 percent).
- Less than half of CLC-regulated practices with turnover in the range £100,001 to £3,000,000 have succession policies in place.

Communications

- Nearly all practices make it possible for consumers to communicate with them by telephone, face-to-face, and by e-mail, and a vast majority still offer access by traditional mail.
- But 75 percent of practices with turnover in excess of £3,000,000 use online interactive systems (like specialist web portals, apps or video conferences), compared to 30.3

percent in the third band, 18.3 percent in the second, a just 13.6 percent of practices with turnovers up to £100,000.

- Telephone, e-mail and face-to-face (in that order) remain the most popular means for contacting CLC-regulated practices, making up around four-fifths of all approaches.

Conversion Rates

- A conversion rate is the number of approaches a practice received, divided by the number of individuals or organisations that went on to become clients. A conversion rate of 0 would signify that no approaches were converted into clients, whereas a conversion rate of 1 would signify that they all were.
- Across all practices the average conversion rate was high, 0.69.
- There was not much difference in average conversion rates between practices in different turnover bands either, with all bands falling in a relatively narrow range, 0.67-0.74.

Complaints

- There was a small but definite increase in the level of complaints from one band to the next: for every thousand clients at a practice with a turnover of £100,000 or less, there was an average of just 0.7 of a complaint; in the next band for every thousand clients there were 1.9 complaints; that increased to 4.1 complaints per thousand clients in the third band; and 7.9 complaints for every thousand clients of practices with turnovers over £3,000,000.
- Based on a list of suggestions from the previous annual regulatory return, the top three suggestions for improving services include:
 - Responding promptly to concerns raised by clients;
 - Making more frequent telephone contact with your client; and
 - Training staff in client services and treating clients as people.
- An average of just 31.6 percent of practices carry out customer satisfaction surveys; but this figure includes around a quarter of practices in the two lowest turnover bands, almost half of those in the third band, and 87.5 percent of those in the highest turnover band.

1. Market Segmentation

Markets can be large and difficult to understand. One consequence of this realisation has been the development of “market segmentation”; a process by which markets are broken down into smaller parts that are easier to comprehend. Traditionally, broad target markets have been divided into subsets that are thought to share common features, interests, needs, or priorities, such as groups of consumers, businesses, or territories; and marketers then design and implement strategies to target specific segments. Market segmentation strategies are often used to identify target customers, and provide supporting data for marketing plans. Businesses may develop specific products, services, or marketing strategies, depending on the needs and characteristics of particular target segments.

Given the commercial imperatives set out in the Legal Services Act 2007, regulators attempted to use various market segmentation techniques to gain a better understanding of how the professions for which they were responsible fitted into the wider market for legal services. However, perceived limitations in profession-based market segmentation made when considering the impacts of regulatory changes led the LSB to commission the development of their own market segmentation framework. It is rooted in the idea that different parts of the legal sector can compete with each other in a broad market for legal services. The framework uses readily observable characteristics – type of consumer, type of problem, and type of legal activity - in order to explain why the legal services market might function in different ways.

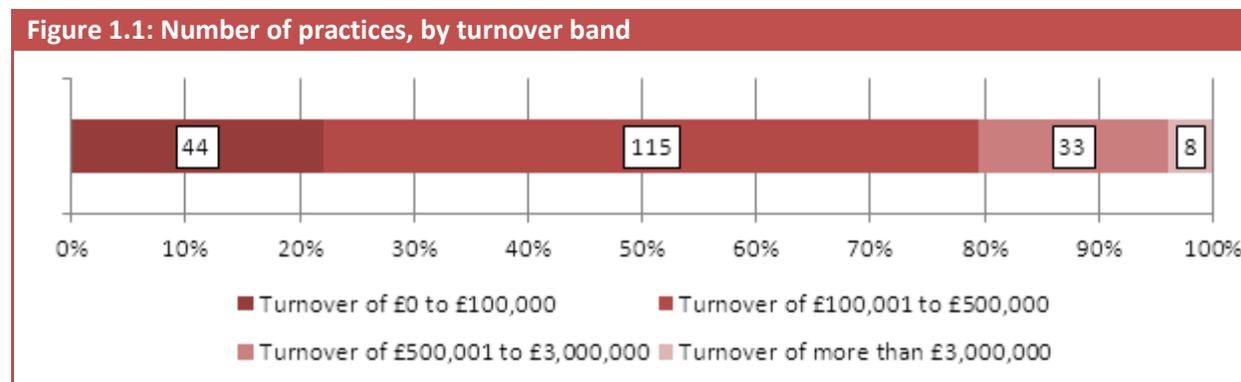
Licensed Conveyancers are authorised to carry out specialist conveyancing and probate services and so deal with a clearly defined set of consumer issues. Therefore, when examining licensed conveyancing practices absent other legal professions, the framework for market segmentation can be collapsed so that it addresses just the type of consumer, and a narrow range of consumer problems. As you will see, some attempt can also be made to address supply side segmentation, and in this instance turnover is used as a proxy measure for practice-size.

Turnover

The CLC regulates entities of a wide range of turnover, and adjusts licence fees accordingly. In this part of the report we will examine the structure of the licensed conveyancing market through the lens of the turnover bands that the CLC uses to distinguish between different types of licensed practices.

	Number of practices	Percentage of all practices (%)
Turnover of £0 to £100,000	44	22.0
Turnover of £100,001 to £500,000	115	57.5
Turnover of £500,001 to £3,000,000	33	16.5
Turnover of more than £3,000,000	8	4.0
All practices	200	100.0

Table 1.1 arranges the respondents to our Annual Regulatory Review according to their turnover in the 2014 calendar year. As you can see the largest group (115), comprising more than half of all respondents, is Licensed Conveyancing practices with a turnover of £100,001 to £500,000, this compares to just eight practices with a turnover in excess of £3,000,000. In the right-most column, you can see the proportion of practices within each of these turnover bands, (in relation to the number of CLC practices as a whole), and these data are set out in the graph below (figure 1.1).

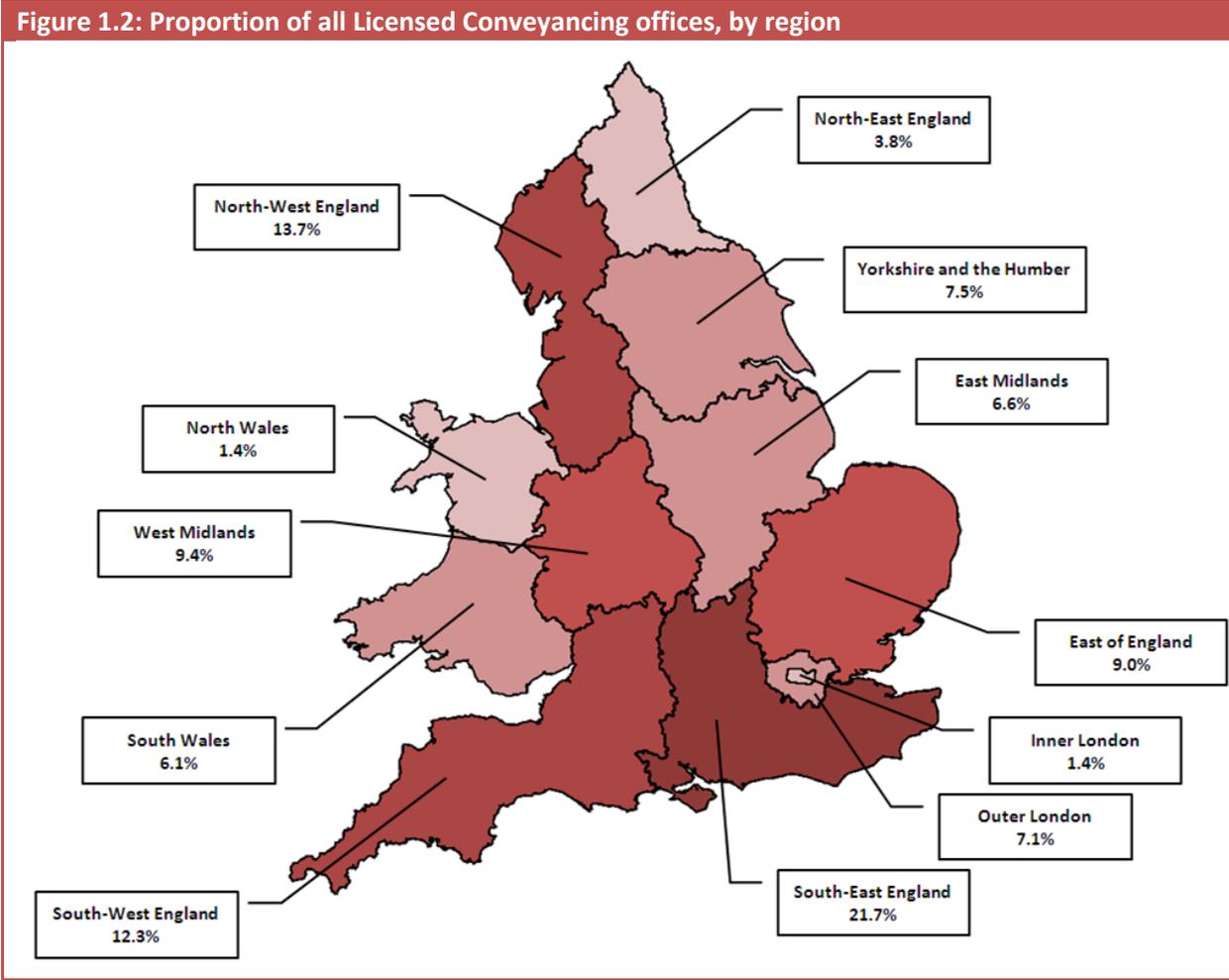


Location

Table 1.2: Locations of practices' offices, by turnover band

	Turnover of £0 to £100,000		Turnover of £100,001 to £500,000		Turnover of £500,001 to £3,000,000		Turnover of more than £3,000,000		All practices	
	Number of practices	Percentage of practices (%)	Number of practices	Percentage of practices (%)	Number of practices	Percentage of practices (%)	Number of practices	Percentage of practices (%)	Number of practices	Percentage of practices (%)
South-East England	8	18.2	27	23.1	9	25.7	2	12.5	46	21.7
North-West England	2	4.5	21	17.9	2	5.7	4	25.0	29	13.7
South-West England	7	15.9	13	11.1	5	14.3	1	6.3	26	12.3
West Midlands	4	9.1	12	10.3	2	5.7	2	12.5	20	9.4
East of England	3	6.8	8	6.8	6	17.1	2	12.5	19	9.0
Yorkshire and the Humber	4	9.1	10	8.5	1	2.9	1	6.3	16	7.5
Outer London	5	11.4	8	6.8	2	5.7	0	0.0	15	7.1
East Midlands	3	6.8	6	5.1	3	8.6	2	12.5	14	6.6
South Wales	3	6.8	5	4.3	3	8.6	2	12.5	13	6.1
North-East England	3	6.8	4	3.4	1	2.9	0	0.0	8	3.8
Inner London	0	0.0	2	1.7	1	2.9	0	0.0	3	1.4
North Wales	2	4.5	1	0.9	0	0.0	0	0.0	3	1.4

Table 1.2 shows the locations in which practices maintain offices, broken down by 12 regions. The South-East of England is the region with the highest proportion of licensed conveyancing offices. It is an area with a traditionally buoyant property market. But conveyancing activity has probably been even more vigorous in Inner London, which is one of the regions with fewest licensed conveyancing offices. The high overheads, and – as we will see – the market niche, within which most CLC-regulated practices operate, must heavily influence this distribution. There are 44 offices in the £0 to £100,000 turnover band – one for each practice – and 16 in the £3,000,000+ band, an average of two offices for each of the eight firms in that category.



The data as it pertains to all practices is also set out in figure 1.2, with the darker regions home to a greater proportion of offices than the lighter regions.

Table 1.3 shows the regions from which practices claim that a substantial proportion of their completions or grants of probate originated. Once again the South-East of England tops the list, and North Wales is at the bottom. This is different than the distribution of offices, and is reflective of the changing realities of modern business, with improvements in ICT enabling people to work beyond the immediate locality. It also shows that the largest firms, with their capacity to accept greater numbers of instructions, appear to be exploiting these opportunities more successfully than practices with lower turnovers, which are still comparatively constrained. Table 1.3 suggests that those with turnovers in excess of £3,000,000 receive work from all regions in relatively equal proportion.

Table 1.3: Regions from which practices claim a substantial proportion of their completions or grants of probate originated, by turnover band										
	Turnover of £0 to £100,000		Turnover of £100,001 to £500,000		Turnover of £500,001 to £3,000,000		Turnover of more than £3,000,000		All practices	
	Number of practices	Percentage of practices (%)	Number of practices	Percentage of practices (%)	Number of practices	Percentage of practices (%)	Number of practices	Percentage of practices (%)	Number of practices	Percentage of practices (%)
South-East England	7	15.6	28	22.4	9	21.4	7	9.7	51	18.0
South-West England	7	15.6	14	11.2	6	14.3	6	8.3	33	11.6
North-West England	2	4.4	19	15.2	3	7.1	6	8.3	30	10.6
Outer London	7	15.6	11	8.8	2	4.8	6	8.3	26	9.2
East of England	3	6.7	8	6.4	7	16.7	7	9.7	25	8.8
West Midlands	3	6.7	12	9.6	4	9.5	6	8.3	25	8.8
Yorkshire and the Humber	4	8.9	9	7.2	2	4.8	6	8.3	21	7.4
East Midlands	4	8.9	6	4.8	2	4.8	7	9.7	19	6.7
Inner London	1	2.2	5	4.0	4	9.5	5	6.9	15	5.3
South Wales	3	6.7	5	4.0	2	4.8	5	6.9	15	5.3
North-East England	2	4.4	4	3.2	1	2.4	6	8.3	13	4.6
North Wales	2	4.4	4	3.2	0	0.0	5	6.9	11	3.9

Figure 1.3: Proportion of practices claiming that a substantial portion of their work comes from each particular region

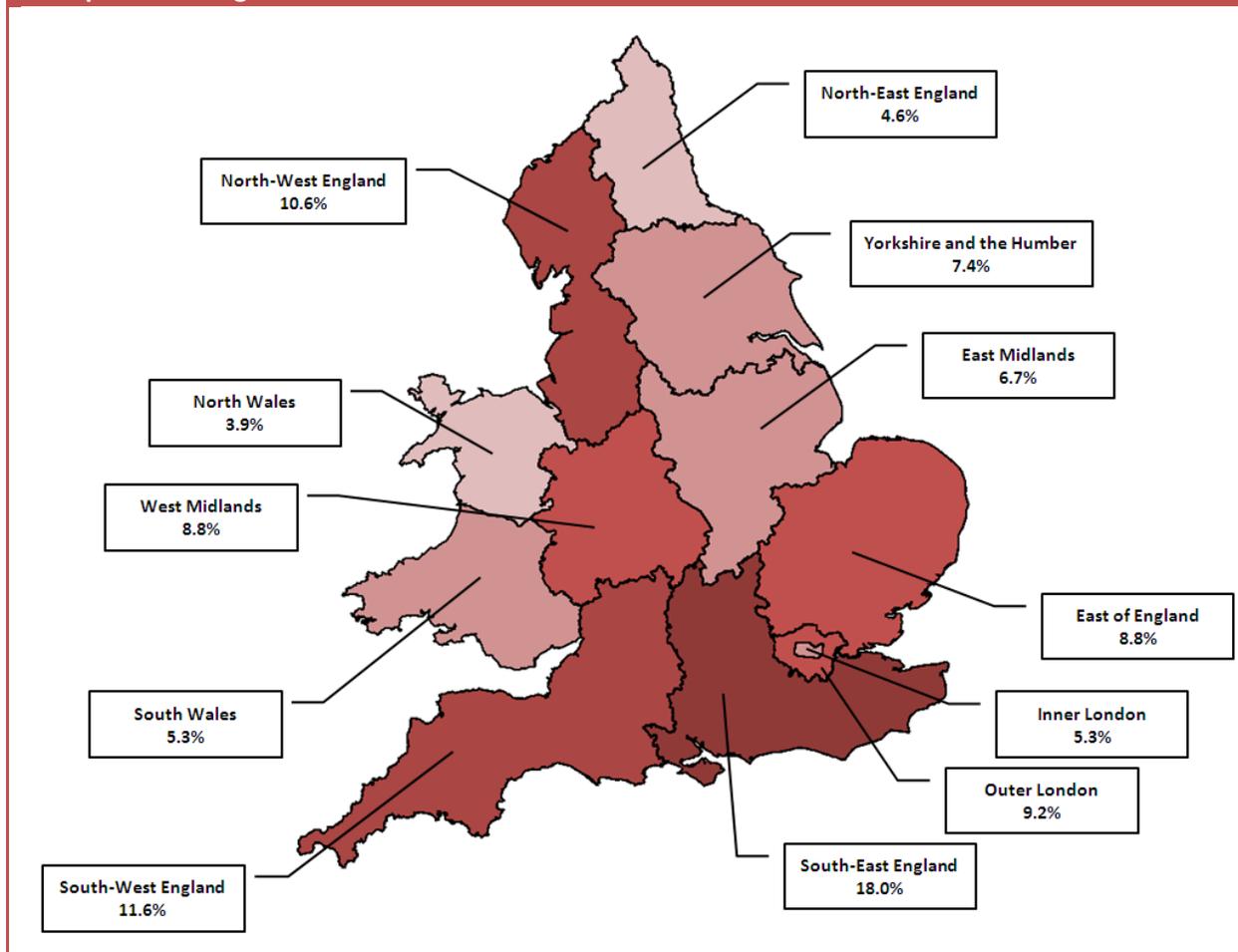


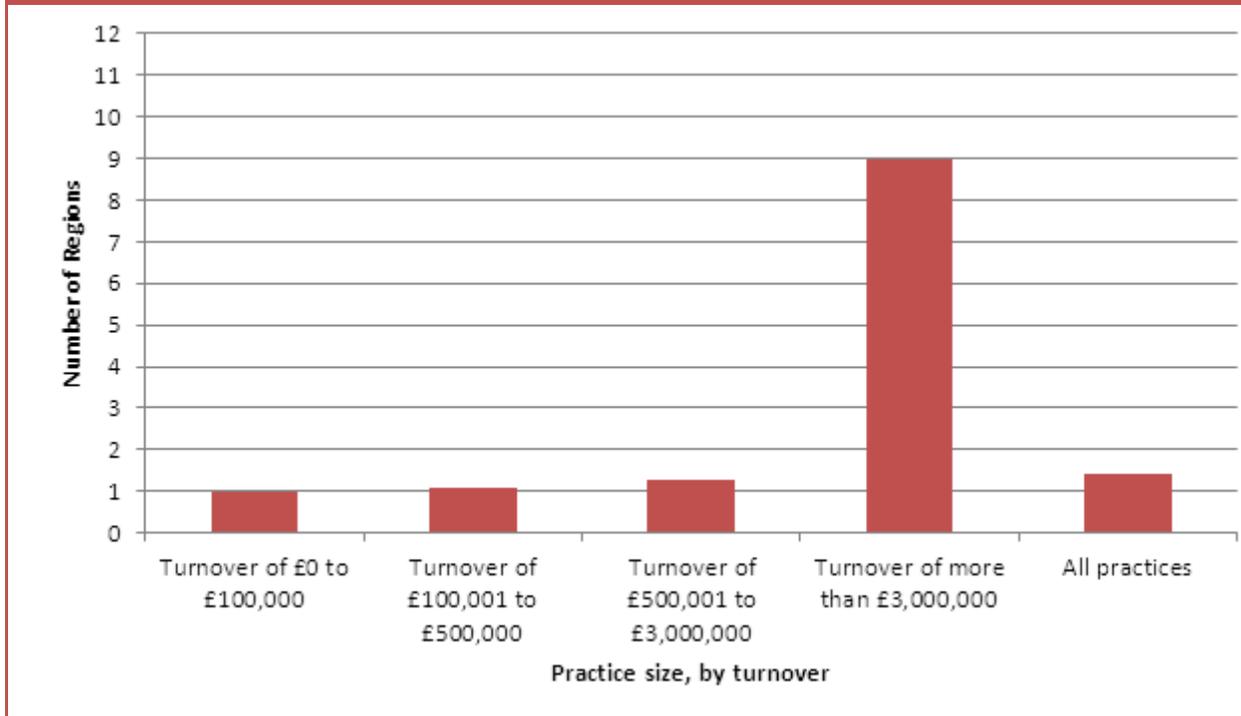
Figure 1.3 shows that South-East England is by far the richest source of work for CLC-licensed practices, with almost a fifth of practices claiming that they have a substantial proportion of their work coming from the region. But across England and Wales as a whole, they do not enjoy the same level of prominence, with fewer than one firm in 25 claiming they had any substantial work originating from North Wales.

Table 1.4: Relationship between practices' turnover and geographic spread (in terms of the quantities of work they receive from each of the 12 regions)

	Turnover of £0 to £100,000	Turnover of £100,001 to £500,000	Turnover of £500,001 to £3,000,000	Turnover of more than £3,000,000	All practices
Number of practices	44	115	33	8	200
Cumulative number of regions from which practices receive substantial quantities of work	45	125	42	72	284
Mean proportion of practices within band receiving work from any one region (%)	8.5	9.1	10.6	75.0	11.8

Table 1.4 contains aggregate data about the relationship between practices' turnover and the geographic distribution of their work. It reaffirms what was suggested in table 1.3. The likelihood that any particular firm with a turnover of £100,000 or less would receive a substantial proportion of their work from a particular region is less than one-in-ten, but if you were to select one of the firms with a turnover of more than £3,000,000, the likelihood would rise to three-in-four.

Figure 1.4: Mean number of regions from which practices receive substantial quantities of work, by turnover band



Meanwhile, figure 1.4 shows the average number of regions from which practices receive substantial quantities of work. The smallest practices (by turnover) are quite restricted geographically, with any one firm receiving almost all of its work from a single region (almost always that in which it is physically located). On average, practices with turnovers between £100,001 and £500,000 and those with turnovers between £500,001 and £3,000,000 draw their business from 1.1 and 1.3 regions respectively. By comparison the largest practices draw in work from 9 of the twelve regions.

Table 1.5: Number of regions from which most practices' completions or grants of probate originated, by turnover band

	Turnover of £0 to £100,000		Turnover of £100,001 to £500,000		Turnover of £500,001 to £3,000,000		Turnover of more than £3,000,000		All practices	
	Number of practices	Percentage of practices (%)	Number of practices	Percentage of practices (%)	Number of practices	Percentage of practices (%)	Number of practices	Percentage of practices (%)	Number of practices	Percentage of all practices (%)
1 region	34	87.2	90	89.1	23	85.2	1	16.7	148	85.5
2 to 3 regions	5	12.8	7	6.9	4	14.8	1	16.7	17	9.8
4 to 9 regions	0	0.0	4	4.0	0	0.0	0	0.0	4	2.3
10 to 12 regions	0	0.0	0	0.0	0	0.0	4	66.7	4	2.3

Table 1.5 reiterates the matter, showing that while two-thirds of £3,000,000+ practices receive work from 10 or more regions, between 85 and 90 percent of practices in the other three categories receive the bulk of their work from a just a single region. This may be explained by the smaller practices lacking the resources to operate over a wider area, consumers wanting face-to-face meetings or the wish to instruct a lawyer with local knowledge.

Figure 1.5: Number of regions from which most practices' completions or grants of probate originated

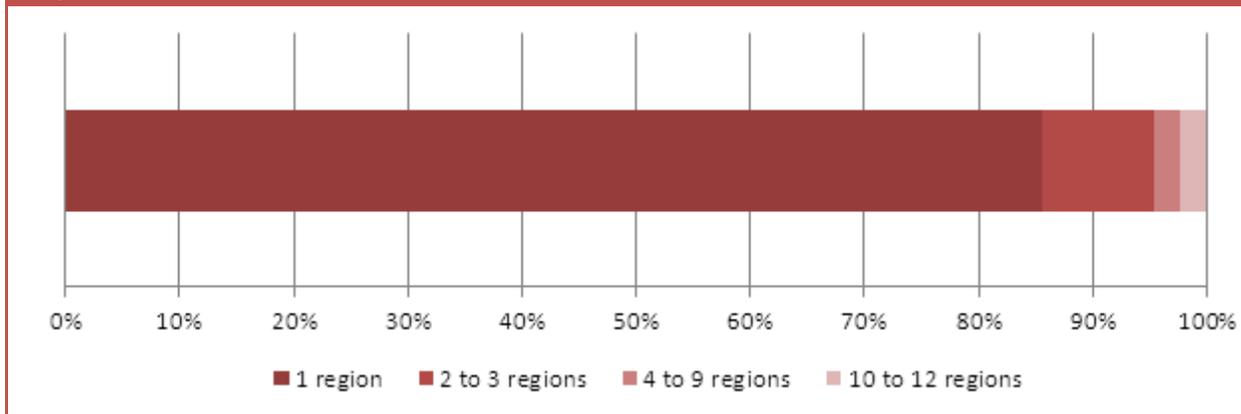


Figure 1.5 emphasises the relatively local source of instructions for most practices, more than 85% of which had completions or grants of probate from just a single region.

Competitors

Table 1.6: Characteristics of businesses perceived as practices' main competitors, by turnover band					
	Turnover of £0 to £100,000	Turnover of £100,001 to £500,000	Turnover of £500,001 to £3,000,000	Turnover of more than £3,000,000	All practices
	Percentage of practices (%)	Percentage of practices (%)	Percentage of practices (%)	Percentage of practices (%)	Percentage of all practices (%)
Main competitor(s) size					
Sole practitioner(s)	4.7	2.7	0.0	0.0	2.6
Small firm(s)	32.6	29.5	16.7	0.0	26.9
Medium firm(s)	62.8	67.9	83.3	100.0	70.5
Large firm(s)	0.0	0.0	0.0	0.0	0.0
Main competitor(s) geographic scale					
Local	54.8	55.4	36.7	0.0	50.0
Regional	28.6	15.2	33.3	12.5	20.8
National	16.7	29.5	30.0	87.5	29.2
Main competitor(s) regulator					
Council for Licensed Conveyancers	11.9	26.4	20.0	62.5	23.7
Solicitors Regulation Authority	85.7	71.8	70.0	37.5	73.2
Other	0.0	0.9	3.3	0.0	1.1
Don't know	2.4	0.9	6.7	0.0	2.1

Table 1.6 shows the characteristics of the businesses that CLC-regulated practices identify as their main competitors, and is consistent with what we might expect, given the previous findings. Competitors are mostly small- to medium-sized firms, with concern about medium-sized firms rising from just under two-thirds among those practices with a turnover of £100,000 or less, to 100 percent among those in the top turnover band. 80 percent of the smallest practices are concerned about local and regional competitors, while almost 90 percent of the largest firms identified national firms as their main competitors. A clear majority of the practices we surveyed regarded Solicitors as the biggest threat, but this was not true of the practices earning in excess of £3,000,000, more than three-fifths of which regarded other CLC-licensed practices as the greater danger. The most commonly reported characteristics of CLC-regulated practices' main competitors suggest that they are medium-sized (70.5 percent), in terms of their geographical reach they are local (50.0 percent) and they are regulated by the Solicitors Regulation Authority (73.2 percent).

Type of Work

Table 1.7: Estimated composition of practices' workloads, by turnover band							
	Mini- mum (%)	Lower quartile (%)	Median (%)	Upper quartile (%)	Maxi- mum (%)	Mean (%)	Modi- fied mean (%)
Turnover of £0 to £100,000							
Percentage of practice's workload comprised of residential conveyancing	2	77.5	95	99.5	100	82.8	79.5
Percentage of practice's workload comprised of commercial conveyancing	0	0	2.5	6	42	6.7	6.4
Percentage of practice's workload comprised of wills, probate, or trusts	0	0	0	8	98	13.2	12.7
Percentage of practice's workload comprised of non-reserved legal activities regulated by the CLC	0	0	0	0	31	1.4	1.3
Turnover of £100,001 to £500,000							
Percentage of practice's workload comprised of residential conveyancing	0	90	97	100	100	91.3	89.9
Percentage of practice's workload comprised of commercial conveyancing	0	1	2	5	50	4.6	4.5
Percentage of practice's workload comprised of wills, probate, or trusts	0	0	0	3	100	5.5	5.4
Percentage of practice's workload comprised of non-reserved legal activities regulated by the CLC	0	0	0	0	8	0.2	0.2
Turnover of £500,001 to £3,000,000							
Percentage of practice's workload comprised of residential conveyancing	70	95	98	100	100	95.6	91.3
Percentage of practice's workload comprised of commercial conveyancing	0	0	2	5	30	3.7	3.5
Percentage of practice's workload comprised of wills, probate, or trusts	0	0	0	2	100	5.4	5.2
Percentage of practice's workload comprised of non-reserved legal activities regulated by the CLC	0	0	0	0	0	0	0.0
Turnover of more than £3,000,000							
Percentage of practice's workload comprised of residential conveyancing	85	99.5	100	100	100	98	97.3
Percentage of practice's workload comprised of commercial conveyancing	0	0	0	0	1	0.2	0.2
Percentage of practice's workload comprised of wills, probate, or trusts	0	0	0	0	15	2.5	2.5
Percentage of practice's workload comprised of non-reserved legal activities regulated by the CLC	0	0	0	0	0	0	0.0
All practices							
Percentage of practice's workload comprised of residential conveyancing	0	90	97	100	100	90.3	88.0
Percentage of practice's workload comprised of commercial conveyancing	0	0	2	5	50	4.8	4.7
Percentage of practice's workload comprised of wills, probate, or trusts	0	0	0	3.5	100	7.1	6.9
Percentage of practice's workload comprised of non-reserved legal activities regulated by the CLC	0	0	0	0	31	0.4	0.4

We asked respondents to estimate the proportion of their practices' workload that was made up of each of four categories of activity: residential conveyancing; commercial conveyancing; wills, probate or trusts; and, non-reserved legal activities regulated by the CLC. Table 1.7 sets

out their responses, with the right-most column converting their estimates to actual percentage values, which ought to be fairly representative of the practices in each turnover band. The smaller firms carry out a wider range of legal activities, with more than 20 percent of their work coming from sources other than residential conveyancing, but this remains the main type of work for almost all practices. Indeed, less than 3 percent of the work carried out by the largest practices is from sources other than residential conveyancing. The narrow focus on residential property transactions may also provide a partial explanation for the relative scarcity of practices in Inner London; a region where commercial property makes up a larger part of the market.

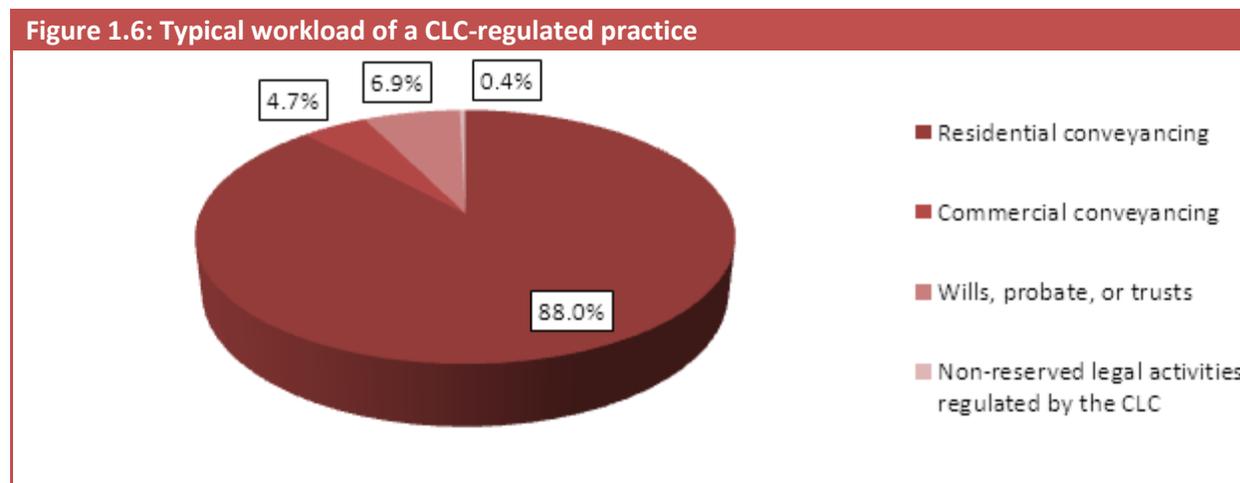


Figure 1.6 shows the nature of legal activities carried out by “the average practice”. Table 1.7 suggests that this variety and distribution of work is unlikely to be reflected in any particular practice, but it is indicative of the importance of each of these sources of work for the sector as a whole.

Clientele

Table 1.8: Total number of consumers receiving services from each practice, by turnover band

Turnover Band	Number of practices	Minimum	Lower quartile	Median	Upper quartile	Maximum	Mean
Turnover of £0 to £100,000	44	27	61	145	241	6,000	298
Turnover of £100,001 to £500,000	115	46	250	400	600	1,200	460
Turnover of £500,001 to £3,000,000	33	500	713	1,000	2,500	8,422	2,063
Turnover of more than £3,000,000	8	4,000	6,903	18,132	41,571	78,754	26,995
All practices	200	27	214	400	700	78,754	1,776

Table 1.8 shows the numbers of consumers using the services of practices of various sizes, during the 2014 calendar year. One small practice serviced just 27 consumers, while one of the £3,000,000+ firms served 78,754, almost 2,917 times as many. There was some ambiguity in

the question – for instance, it is possible that a practice may have acted multiple times for a single consumer – but the volume of responses is such that we can still be reasonably confident of the shape of the results, taken as a totality.

Looking at the mean column, on the right of the table, we can see the increase in the average number of consumers, from one turnover band to the next. At the lower end of the market, it is a relatively small step up from an average of 298 consumers in the first turnover band, to 460 in the second, but from there, there is a substantial leap to 2,063 in the third, and the average number of consumers for which the largest firms acted is more than ten times that: 26,995.

In this case the median probably provides a better, more representative average than the mean, which is wildly overinflated by a minority of practices with exceptionally high numbers of clients; referring back to table 1.8, the median number of clients per practice is 400.

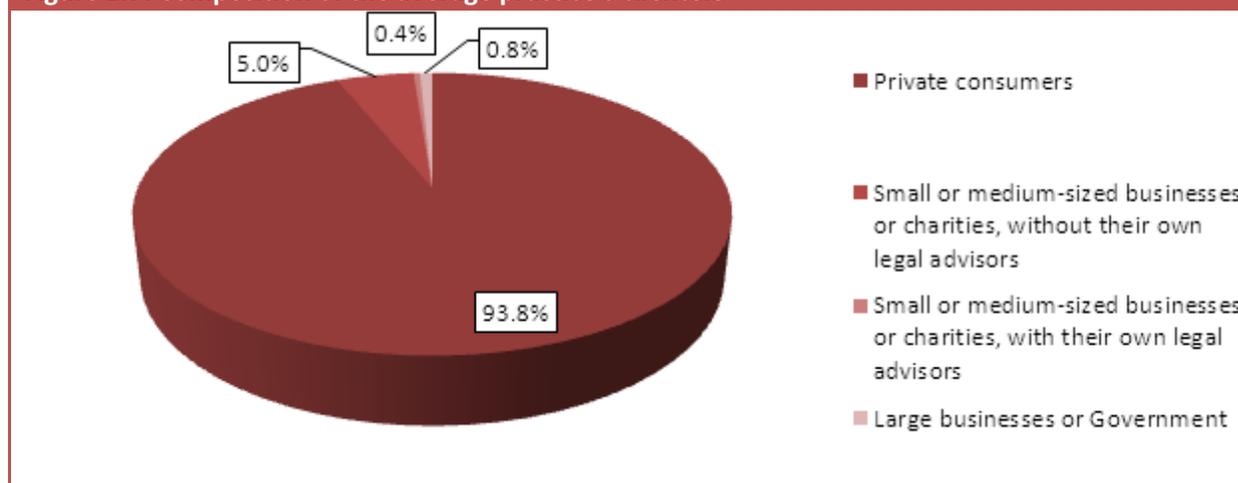
Table 1.9: Estimated composition of practices' clientele, by turnover band							
	Mini- mum (%)	Lower quartile (%)	Me- dian (%)	Upper quar- tile (%)	Maxi- mum (%)	Mean (%)	Modified mean (%)
Turnover of £0 to £100,000							
Private consumers	52.0	95.0	100.0	100.0	100.0	94.9	93.5
Small or medium-sized businesses or charities, without their own legal advisors	0.0	0.0	1.5	6.0	48.0	6.0	5.9
Small or medium-sized businesses or charities, with their own legal advisors	0.0	0.0	0.0	0.0	10.0	0.6	0.6
Large businesses or Government	0.0	0.0	0.0	0.0	1.0	0.0	0.0
Turnover of £100,001 to £500,000							
Private consumers	50.0	95.0	99.0	100.0	100.0	95.7	94.8
Small or medium-sized businesses or charities, without their own legal advisors	0.0	0.0	2.0	5.0	50.0	4.8	4.8
Small or medium-sized businesses or charities, with their own legal advisors	0.0	0.0	0.0	0.0	9.0	0.4	0.4
Large businesses or Government	0.0	0.0	0.0	0.0	3.0	0.1	0.1
Turnover of £500,001 to £3,000,000							
Private consumers	50.0	95.0	98.5	100.0	100.0	94.4	93.6
Small or medium-sized businesses or charities, without their own legal advisors	0.0	0.5	2.0	5.0	50.0	6.2	6.1
Small or medium-sized businesses or charities, with their own legal advisors	0.0	0.0	0.0	0.0	5.0	0.3	0.3
Large businesses or Government	0.0	0.0	0.0	0.0	1.0	0.0	0.0

Table 1.9: Estimated composition of practices' clientele, by turnover band (cont.)

Turnover of more than £3,000,000							
Private consumers	9.0	97.0	100.0	100.0	100.0	87.9	84.6
Small or medium-sized businesses or charities, without their own legal advisors	0.0	0.0	0.0	1.0	5.0	1.0	1.0
Small or medium-sized businesses or charities, with their own legal advisors	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Large businesses or Government	0.0	0.0	0.0	0.0	90.0	15.0	14.4
All practices							
Private consumers	9.0	95.0	99.0	100.0	100.0	95.0	93.8
Small or medium-sized businesses or charities, without their own legal advisors	0.0	0.0	2.0	5.0	50.0	5.1	5.0
Small or medium-sized businesses or charities, with their own legal advisors	0.0	0.0	0.0	0.0	10.0	0.4	0.4
Large businesses or Government	0.0	0.0	0.0	0.0	90.0	0.8	0.8

Table 1.9 shows the types of consumers making use of licensed conveyancing services. They are overwhelmingly private consumers, which is in line with expectations given that residential conveyancing accounts for 97 percent of the turnover of CLC-regulated practices. The only response that looks at all anomalous here is that 14.4 percent of the work of practices with turnover in excess of £3,000,000 is carried out on behalf of large businesses or government. This minor discrepancy excepted, the consumer profile is remarkably similar for practices at all levels (see figure 1.7).

Figure 1.7: Composition of the average practice's clientele



2. Workforce

It is important for staff in a legal practice to have an appropriate level of knowledge and skill in order properly to perform their function. CLC practices, from the sole practitioners to the large corporate entities, rely on staff with an appropriate blend of aptitudes and experience in order to deliver services, timeously, and to a high standard.

Sole Practitioners

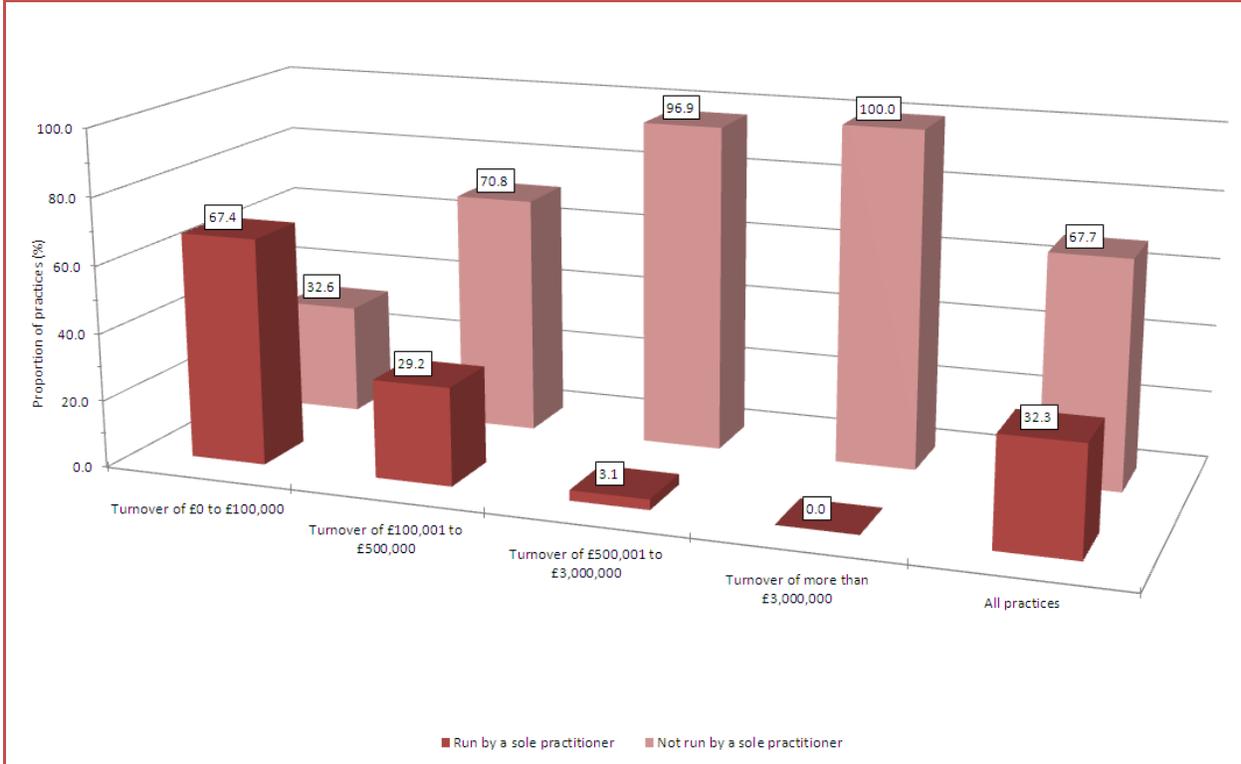
Table 2.1: Proportion of practices run by a sole practitioner, by turnover band

	Turnover of £0 to £100,000		Turnover of £100,001 to £500,000		Turnover of £500,001 to £3,000,000		Turnover of more than £3,000,000		All practices	
	Number of practices	Proportion of practices (%)	Number of practices	Proportion of practices (%)	Number of practices	Proportion of practices (%)	Number of practices	Proportion of practices (%)	Number of practices	Proportion of practices (%)
Run by a sole practitioner	29	67.4	33	29.2	1	3.1	0	0.0	63	32.3
Not run by a sole practitioner	14	32.6	80	70.8	31	96.9	7	100.0	132	67.7

A substantial minority of CLC-regulated practices are sole practitioners. Table 2.1 shows the proportion of practices run by a sole practitioner, (with the percentages set out graphically in figure 2.1).

This matter produces marked differences between practices, depending on their turnover. So, while more than two-thirds of practices with a turnover of £100,000 or less are sole practitioners, just under a third of practices in the £100,001 to £500,000 band are sole practitioners, one practice (just over 3 percent of practices) in the £500,001 to £3,000,000 band, and none of the practices with turnovers above £3,000,000. This is exactly what we might expect, as most smaller practices would not have the volume of work to occupy multiple employees, nor the turnover to pay their salaries and on-costs, while larger firms have a heavier workload (see table 1.8), and the turnover to pay for additional staff. They have probably also made significant investment in ICT, including file management packages.

Figure 2.1: Proportion of practices run by a sole practitioner, by turnover band



Managers' Authorisation

Section 18 Legal Services Act 2007 defines “authorised persons” as persons authorised in respect of a given legal activity (such as conveyancing or probate) by a relevant approved regulator (such as the CLC), or licensed bodies authorised in respect of those activities. Whether they are Recognised Bodies or Alternative Business Structures, practices regulated by the CLC must have appropriately qualified managers. Until 2011 this would have meant one or more licensed conveyancers, at least one of whom held a CLC Manager’s Licence. Managers authorised by other legal regulators – and those who are not authorised persons at all – are becoming an important part of an increasingly diverse CLC-regulated community.

Table 2.2 shows the proportion of practices that have at least one manager with a particular kind of legal authorisation. Given that we are focusing exclusively on entities regulated by the CLC, it is to be expected that the great majority of practices would have at least one manager who is authorised to carry out conveyancing services. There is a steady increase in the proportion of CLC practices with at least one manager who is a licensed conveyancer, from just under 85 percent of those in the lowest turnover band, to all of the practices in the highest turnover band. There is a similar but even more evident increase in the proportion of practices that have at least one manager who is authorised by the Solicitors Regulation Authority ranging from fewer than one in seven practices with a turnover of £100,000 or less, to three out of four

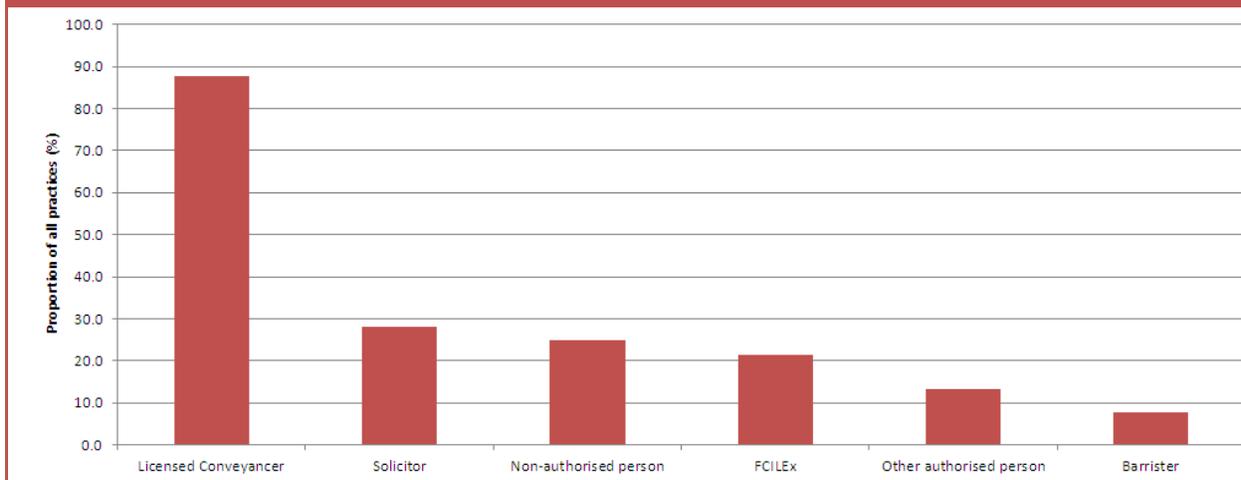
of those with a turnover in excess of £3,000,000. Similar patterns are present among the proportions of non-authorized persons and those authorized by the Chartered Institute of Legal Executives. But this is not simply a case of turnover being a proxy measure for practices' size, and practices with larger workforces being more likely to have greater numbers of managers, authorized by different legal regulators, because the distribution of barristers runs counter to this pattern. Although relatively few in number throughout CLC-regulated practices, barristers are concentrated in the smaller practices. They are present in 14 percent of practices with turnover under £100,000, just over 6 percent of practices earning between £100,001 and £3,000,000, and none of the firms with turnover of more than £3,000,000.

Table 2.2 Proportion of practices that have at least one manager with a particular kind of authorisation, by turnover band

	Turnover of £0 to £100,000	Turnover of £100,001 to £500,000	Turnover of £500,001 to £3,000,000	Turnover of more than £3,000,000	All practices
Licensed Conveyancer (%)	83.7	85.8	96.9	100.0	87.8
Solicitor (%)	14.0	28.3	34.4	75.0	28.1
Non-authorized person (%)	4.7	26.5	37.5	62.5	25.0
FCILEx (%)	9.3	18.6	43.8	37.5	21.4
Other authorised person (%)	4.7	15.0	21.9	0.0	13.3
Barrister (%)	14.0	6.2	6.3	0.0	7.7

Figure 2.2 shows the proportion of practices that have at least one manager with a particular kind of authorisation.

Figure 2.2: Proportion of all practices that have at least one manager with a particular kind of authorization



While table 2.2 showed the proportion of practices with at least one manager with a particular authorisation, table 2.3 shows the proportion of managers in practices, by authorisation and turnover band. That is to say, it shows how many of each kind of manager are likely to be found in a firm of a particular size. As explained in the discussion of table 2.2, the professional qualifications of managers in individual practices may be substantially different, but it is possible to conclude that the larger the turnover, the smaller the proportion of licensed conveyancers or barristers, and the greater the proportion of non-authorized persons or solicitors. Managers in the smallest practices by turnover are twice as likely to be licensed conveyancers as managers in the largest practices.

Table 2.3: Proportion of managers in practices, by authorisation and turnover band

	Turnover of £0 to £100,000 (%)	Turnover of £100,001 to £500,000 (%)	Turnover of £500,001 to £3,000,000 (%)	Turnover of more than £3,000,000 (%)	All practices (%)
Licensed Conveyancers	67.6	49.1	41.0	36.6	47.2
Non-authorized persons	2.8	15.7	24.5	30.5	18.6
Solicitors	9.9	14.2	11.2	24.4	14.1
FCILEx	5.6	9.3	10.6	8.5	9.2
Other authorised persons	2.8	8.0	10.6	0.0	7.2
Barristers	11.3	3.7	2.1	0.0	3.6

Figure 2.3 shows the proportion of managers in all CLC-regulated practices, by authorisation. Less than half of all managers in CLC practices are licensed conveyancers. The proportion of licensed conveyancers among managerial staff must be evidence of the increasing importance of entity-based regulation, where the focus is more on the outcomes of a practice’s work, than the individuals carrying it out. On the other hand, it should be noted that 87.2 percent of all CLC-regulated practices have at least one manager who is a licensed conveyancer (see table 2.2).

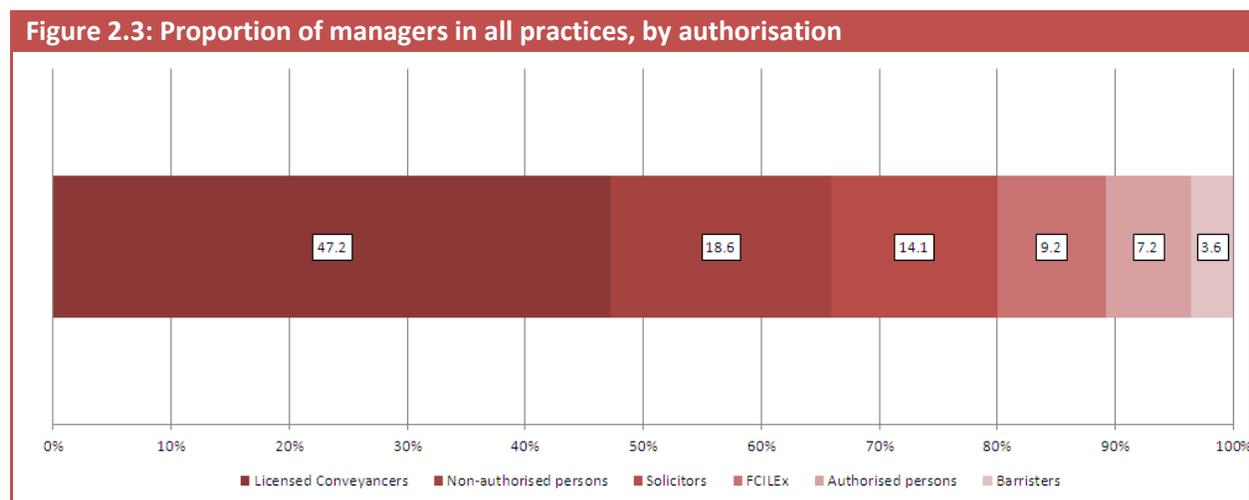


Table 2.4 further elucidates these findings, setting out the range of managers in individual practices, by authorisation and turnover band. So, managers in a practice with a turnover of £100,000 or less comprise an average of 1.1 licensed conveyancers, 0.2 barristers, 0.2 solicitors, and 0.1 FCILEx, totaling 1.6 managers per practice. Managers of a practice with a turnover greater than £3,000,000 comprise 3.8 licensed conveyancers, 3.1 non-authorized persons, 2.5 solicitors, and 0.9 of a FCILEx, totaling 10.3 managers per practice.

Table 2.4: Number of managers in individual practices, by authorisation and turnover band						
	Minimum	Lower quartile	Median	Upper quartile	Maximum	Mean
Turnover of £0 to £100,000						
Licensed Conveyancers	0.0	1.0	1.0	1.0	3.0	1.1
Barristers	0.0	0.0	0.0	0.0	3.0	0.2
Solicitors	0.0	0.0	0.0	0.0	2.0	0.2
FCILEx	0.0	0.0	0.0	0.0	1.0	0.1
Other authorised persons	0.0	0.0	0.0	0.0	1.0	0.0
Non-authorized persons	0.0	0.0	0.0	0.0	1.0	0.0
Turnover of £100,001 to £500,000						
Licensed Conveyancers	0.0	1.0	1.0	2.0	5.0	1.4
Non-authorized persons	0.0	0.0	0.0	1.0	6.0	0.5
Solicitors	0.0	0.0	0.0	1.0	6.0	0.4
FCILEx	0.0	0.0	0.0	0.0	5.0	0.3
Other authorised persons	0.0	0.0	0.0	0.0	3.0	0.2
Barristers	0.0	0.0	0.0	0.0	3.0	0.1
Turnover of £500,001 to £3,000,000						
Licensed Conveyancers	0.0	2.0	2.0	3.0	5.0	2.4
Non-authorized persons	0.0	0.0	0.0	2.0	15.0	1.4
Solicitors	0.0	0.0	0.0	1.0	5.0	0.7
FCILEx	0.0	0.0	0.0	1.0	3.0	0.6
Other authorised persons	0.0	0.0	0.0	0.0	8.0	0.6
Barristers	0.0	0.0	0.0	0.0	3.0	0.1
Turnover of more than £3,000,000						
Licensed Conveyancers	1.0	2.0	3.0	4.5	10.0	3.8
Non-authorized persons	0.0	0.0	2.5	5.0	10.0	3.1
Solicitors	0.0	0.5	1.0	2.0	13.0	2.5
FCILEx	0.0	0.0	0.0	1.0	5.0	0.9
Barristers	0.0	0.0	0.0	0.0	0.0	0.0
Other authorised persons	0.0	0.0	0.0	0.0	0.0	0.0

Table 2.4: Number of managers in individual practices, by authorisation and turnover band (cont.)

All practices						
Licensed Conveyancers	0.0	1.0	1.0	2.0	10.0	1.6
Non-authorised persons	0.0	0.0	0.0	0.5	15.0	0.6
Solicitors	0.0	0.0	0.0	1.0	13.0	0.5
FCILEx	0.0	0.0	0.0	0.0	5.0	0.3
Other authorised persons	0.0	0.0	0.0	0.0	8.0	0.2
Barristers	0.0	0.0	0.0	0.0	3.0	0.1

Figure 2.4 shows the type and number of managers in an average practice, by turnover band. Figure 2.5 shows the total number of managers in an average practice, by turnover band, but this time without regard to whether or how they are authorised. These two graphs reveal a steady increase in the number of managers from turnover band to turnover band (which is especially clear in figure 2.5), but figure 2.4 also shows the shifting make-up of managerial teams from one band to the next, (as expected from table 2.4).

Figure 2.4: Average number of managers in individual practices, by authorisation and turnover band

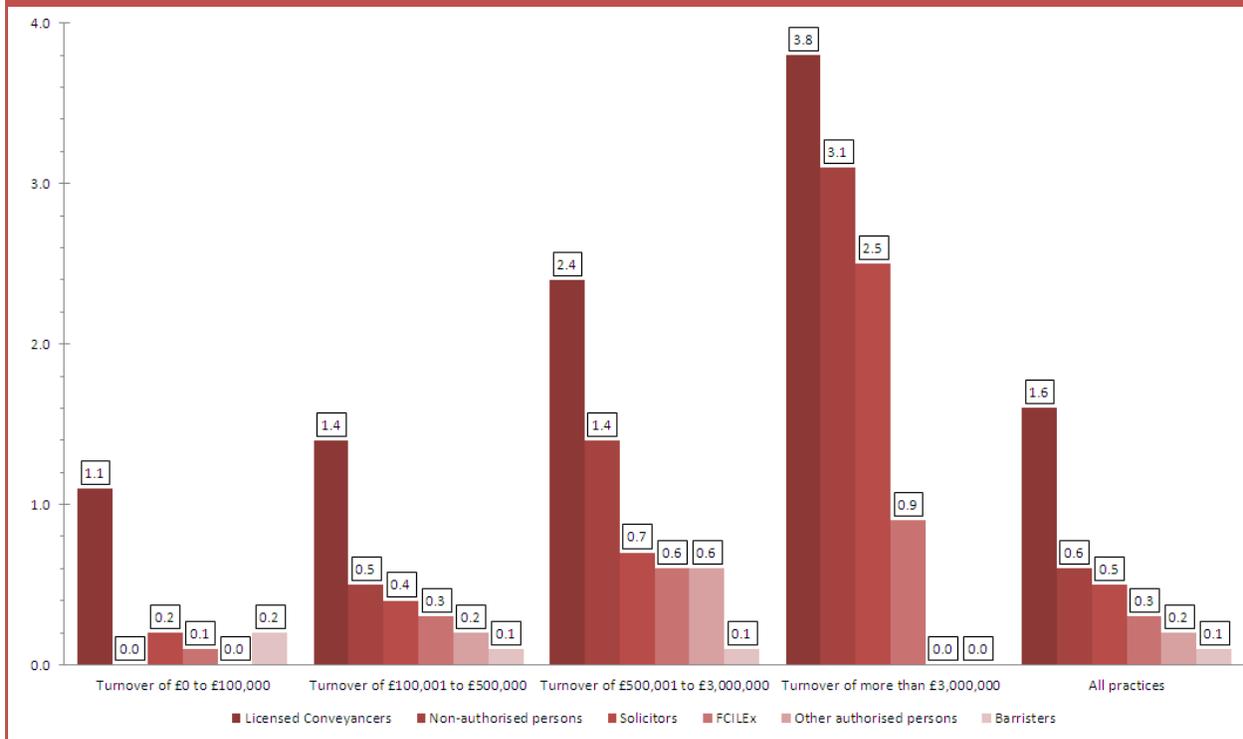


Figure 2.5: Average number of managers in individual practices, by turnover band

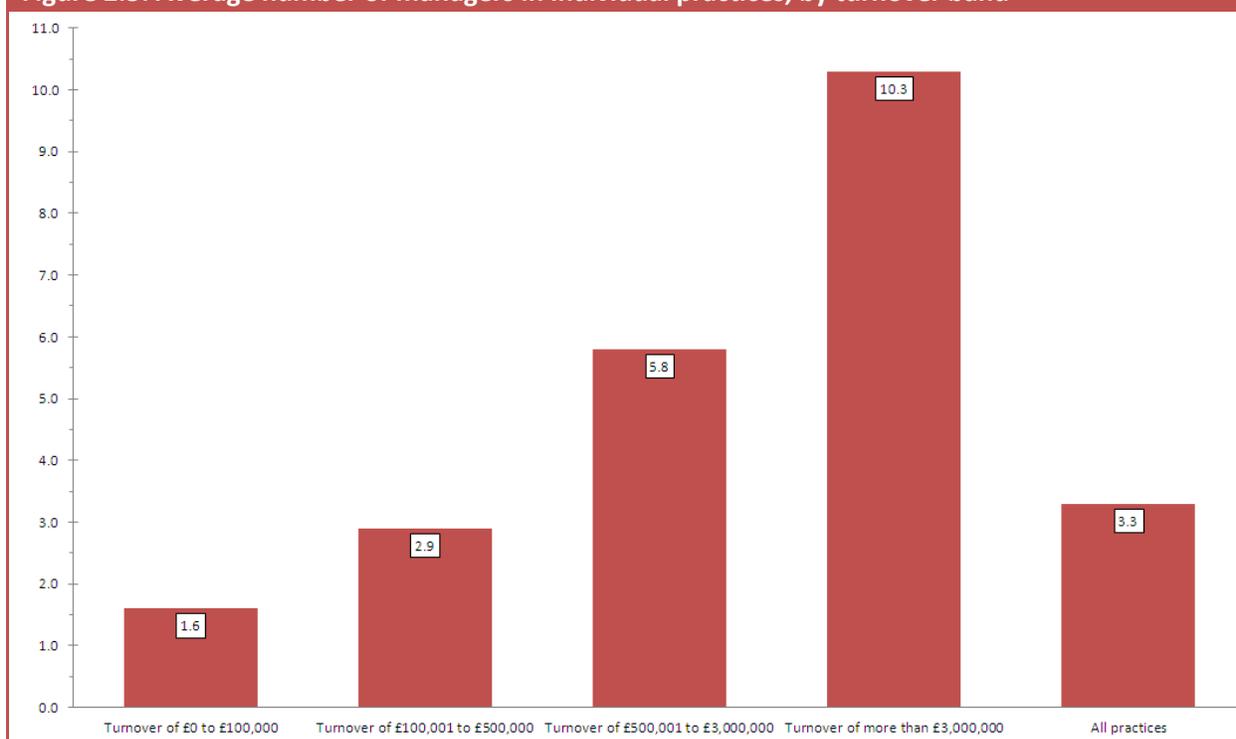


Table 2.6 below goes into greater detail, looking at the kinds of work carried out by managers, breaking down the results by the managers' authorisation, and the size of the practices turnover. Given the focus of most CLC-regulated practices, it is unsurprising that more than four-fifths of managers work on conveyancing matters only. One of the clearer trends emerging from the table is that as turnover increases, managers become increasingly specialised. Just over a quarter of those working in the smallest practices provide more than one legal activity, compared to none of the managers in the largest practices. Practices with a lower turnover typically have fewer staff. Consequently, people working in those organisations may need to be more flexible in terms of the content of their workloads.

Table 2.6: Proportion of managers engaging in particular kinds of work, by authorisation and turnover band

	Turnover of £0 to £100,000	Turnover of £100,001 to £500,000	Turnover of £500,001 to £3,000,000	Turnover of more than £3,000,000	All practices
	Proportion of managers within band (%)				
Licensed Conveyancers					
Conveyancing matters only	66.7	78.6	87.0	96.7	80.6
Probate matters only	6.3	5.7	3.9	3.3	5.1
A mix of conveyancing and probate matters	27.1	15.7	9.1	0.0	14.3

Table 2.6: Proportion of managers engaging in particular kinds of work, by authorisation and turnover band (cont.)

Barristers					
Conveyancing matters only	75.0	83.3	100.0	0.0	83.3
Probate matters only	0.0	8.3	0.0	0.0	4.2
A mix of conveyancing and probate matters	25.0	8.3	0.0	0.0	12.5
Solicitors					
Conveyancing matters only	71.4	71.7	76.2	95.0	77.7
Probate matters only	14.3	8.7	19.0	5.0	10.6
A mix of conveyancing and probate matters	14.3	19.6	4.8	0.0	11.7
FCILEx					
Conveyancing matters only	50.0	80.0	85.0	100.0	82.0
Probate matters only	25.0	3.3	10.0	0.0	6.6
A mix of conveyancing and probate matters	25.0	16.7	5.0	0.0	11.5
Other authorised persons					
Conveyancing matters only	50.0	88.5	100.0	0.0	91.7
Probate matters only	0.0	3.8	0.0	0.0	2.1
A mix of conveyancing and probate matters	50.0	7.7	0.0	0.0	6.3
Non-authorised persons					
Conveyancing matters only	100.0	88.2	56.5	100.0	79.0
Probate matters only	0.0	2.0	8.7	0.0	4.0
A mix of conveyancing and probate matters	0.0	9.8	34.8	0.0	16.9
All managers					
Conveyancing matters only	67.6	80.2	79.8	97.6	80.9
Probate matters only	7.0	5.2	6.9	2.4	5.6
A mix of conveyancing and probate matters	25.4	14.5	13.3	0.0	13.5

Employees' Authorisation

The survey sought similar information about the authorisation of employees working within CLC-regulated practices. Excluding those practices where the respondent identified as a sole practitioner, we asked a series of questions about whether or how employees were qualified, and the types of work with which they were engaged.

Table 2.7 shows that non-authorized persons (excluding students or trainees) are present in two-thirds of all practices, but this average obscures an uneven distribution, because although all of the practices in the top turnover band have at least one non-authorized employee, they are only working in a little over two-fifths of the smallest practices. Another interesting trend emerging from this table, albeit not a surprising one, is that the proportion of practices with at least one student or trainee increases substantially from smaller to larger turnover bands, from a little over a quarter of the smallest practices to three-quarters of the largest.

Table 2.7: Proportion of practices that have at least one employee with a particular kind of authorisation, by turnover band					
	Turnover of £0 to £100,000	Turnover of £100,001 to £500,000	Turnover of £500,001 to £3,000,000	Turnover of more than £3,000,000	All practices
Non-authorized persons, excluding students or trainees (%)	42.9	67.5	67.7	100.0	66.9
Licensed Conveyancer (%)	42.9	50.0	64.5	100.0	55.6
Solicitor (%)	21.4	37.5	48.4	100.0	42.1
Student or trainee (%)	28.6	32.5	45.2	75.0	37.6
FCILEx (%)	14.3	23.8	48.4	87.5	32.3
Other authorised person (%)	14.3	10.0	29.0	25.0	15.8
Barrister (%)	0.0	2.5	3.2	0.0	2.3

Figure 2.6 uses the right-most column of table 2.7, to illustrate the proportion of all practices that have at least one employee of a particular kind.

Figure 2.6: Proportion of all practices that have at least one employee with a particular kind of authorization

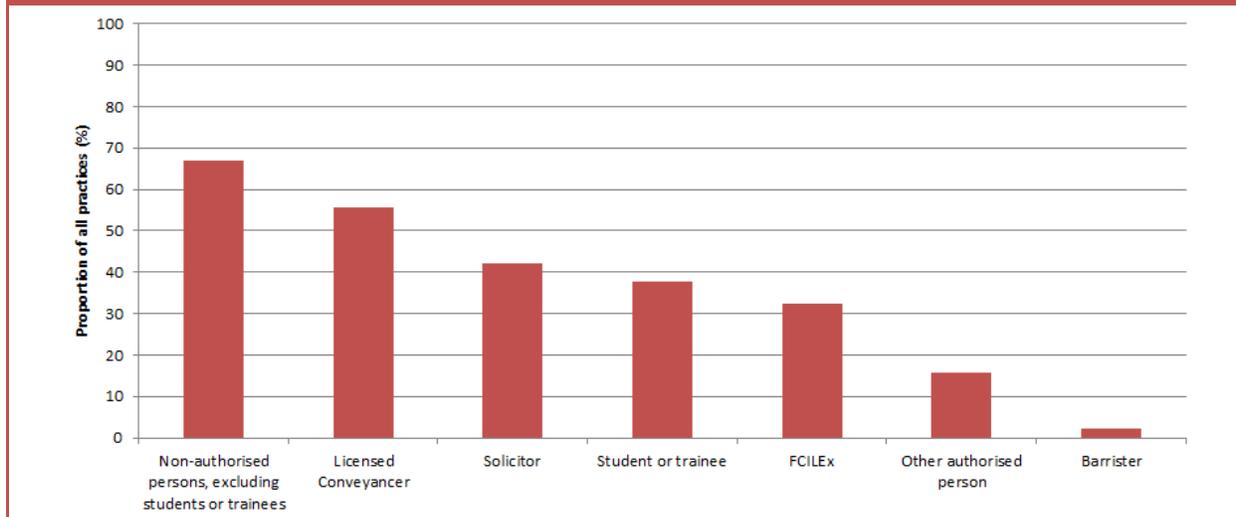


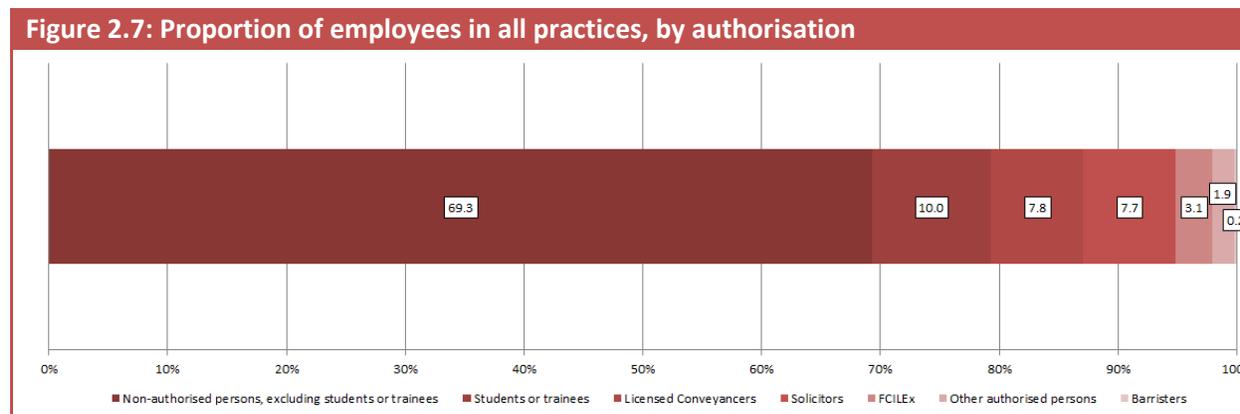
Table 2.8 shows the proportion of different kinds of employees within practices, and the most obvious finding emerging here is that the higher the turnover, the greater the proportion of non-authorised persons a practice is likely to employ. They make up just under half of the employees in practices with turnovers of less than £100,000, compared to just under four-fifths of employees in the largest practices. It makes sense that non-authorised staff would become more common as businesses scale up, as the larger practices have the resources to implement formalised systems of control (eg. case management systems). Whatever the reason, almost a fifth of employees at practices in the lowest turnover band are licensed conveyancers, but this decreases to less than a twentieth of employees at practices in the highest turnover band.

In contrast with the findings from table 2.7, which appear to show that larger practices shouldered the greater part of the responsibility for training, table 2.8 shows that students make up a greater proportion of employees in practices with turnovers under £500,001, and that the highest turnover band is the only one in which less than 10 percent of employees are students or trainees.

Table 2.8: Proportion of employees in practices, by authorisation and turnover band

	Turnover of £0 to £100,000	Turnover of £100,001 to £500,000	Turnover of £500,001 to £3,000,000	Turnover of more than £3,000,000	All practices
Non-authorised persons, excluding students or trainees (%)	47.8	57.0	65.5	78.6	69.3
Students or trainees (%)	10.9	11.8	10.6	8.7	10.0
Licensed Conveyancers (%)	19.6	13.8	8.2	4.3	7.8
Solicitors (%)	8.7	8.7	9.6	5.8	7.7
FCILEx (%)	4.3	4.7	4.0	1.7	3.1
Other authorised persons (%)	8.7	3.4	1.9	0.9	1.9
Barristers (%)	0.0	0.7	0.2	0.0	0.2

Figure 2.7 provides an overview of the proportions of different kinds of employees across all CLC-licensed practices. It reveals that barely a fifth of employees are authorised to carry out restricted legal work without supervision. It also shows that just one in 500 employees is a barrister.



From table 2.9 we can calculate that the average practice has 20.7 employees of various kinds. 14.5 of them (nearly three-quarters) are non-authorized, and 1.6 of them are licensed conveyancers. There is a large disparity in the number of employees in each turnover band, from an average of three employees in practices with turnovers of £100,000 or less, to 5.1 in the next band, to 18.8 in the third, and an average of 226.1 employees for practices in the highest turnover band.

Table 2.9: Number of employees in individual practices, by authorisation and turnover band

	Minimum	Lower quartile	Median	Upper quartile	Maximum	Mean
Turnover of £0 to £100,000						
Non-authorized persons, excluding students or trainees	0	0	0	3	4	1.2
Licensed Conveyancers	0	0	0	1	3	0.7
Students or trainees	0	0	0	1	2	0.4
Solicitors	0	0	0	0	2	0.3
Other authorised persons	0	0	0	0	2	0.3
FCILEx	0	0	0	0	1	0.1
Barristers	0	0	0	0	0	0
Turnover of £100,001 to £500,000						
Non-authorized persons, excluding students or trainees	0	0	1	4	14	2.4
Licensed Conveyancers	0	0	0.5	1	5	0.9
Students or trainees	0	0	0	1	11	0.7
Solicitors	0	0	0	1	5	0.5
FCILEx	0	0	0	0	3	0.3
Other authorised persons	0	0	0	0	3	0.2
Barristers	0	0	0	0	2	0.1

Table 2.9: Number of employees in individual practices, by authorisation and turnover band (cont.)						
Turnover of £500,001 to £3,000,000						
Non-authorised persons, excluding students or trainees	0	0	3	13	50	9.9
Students or trainees	0	0	0	2	30	2.3
Licensed Conveyancers	0	0	1	3	10	1.8
Solicitors	0	0	0	2	8	1.4
Other authorised persons	0	0	0	1	5	0.7
FCILEx	0	0	0	1	2	0.6
Barristers	0	0	0	0	2	0.1
Turnover of more than £3,000,000						
Non-authorised persons, excluding students or trainees	40	54	139	306.5	380	177.4
Students or trainees	0	1	10	24	79	18.6
Solicitors	1	2.5	8.5	26	39	14.3
Licensed Conveyancers	2	4.5	9	11.5	24	9.5
FCILEx	0	1.5	3	7	16	4.9
Other authorised persons	0	0	0	0.5	10	1.4
Barristers	0	0	0	0	0	0
All practices						
Non-authorised persons, excluding students or trainees	0	0	2	5	380	14.5
Students or trainees	0	0	0	1	79	2.1
Licensed Conveyancers	0	0	1	2	24	1.6
Solicitors	0	0	0	1	39	1.5
FCILEx	0	0	0	1	16	0.6
Other authorised persons	0	0	0	0	10	0.4
Barristers	0	0	0	0	2	0

Table 2.9 also suggests that even in the practices of the lowest turnover band there are an average of 1.2 non-authorised employees, and smaller proportions of employees of other kinds. However, the reality is that less than half of the practices in the lowest turnover band have any employees at all, and at least a quarter of the practices in each of the next two turnover bands have no employees either. Bearing in mind that the table excludes self-identified sole practitioners, this result is a little surprising. It is possible, especially in the case of the lowest turnover bands, that practices include a number of partnerships with more than one manager, but no employees.

Figure 2.8 reveals the huge differences between practices in in the £3,000,000+ turnover band, and the rest of the regulated community, in terms of the numbers and kinds of people that they employ.

Figure 2.8: Average number of managers in individual practices, by authorisation and turnover band

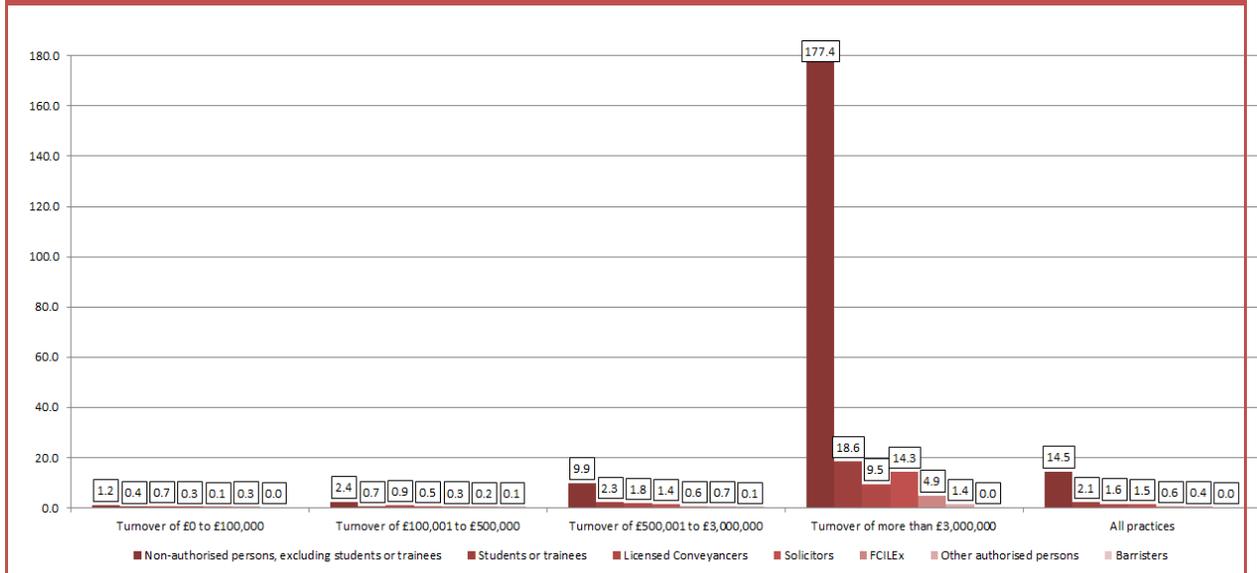


Figure 2.9 shows the average number of employees per practice. It underscores the disparity established in table 2.9 and figure 2.8.

Figure 2.9: Average number of employees in individual practices, by turnover band

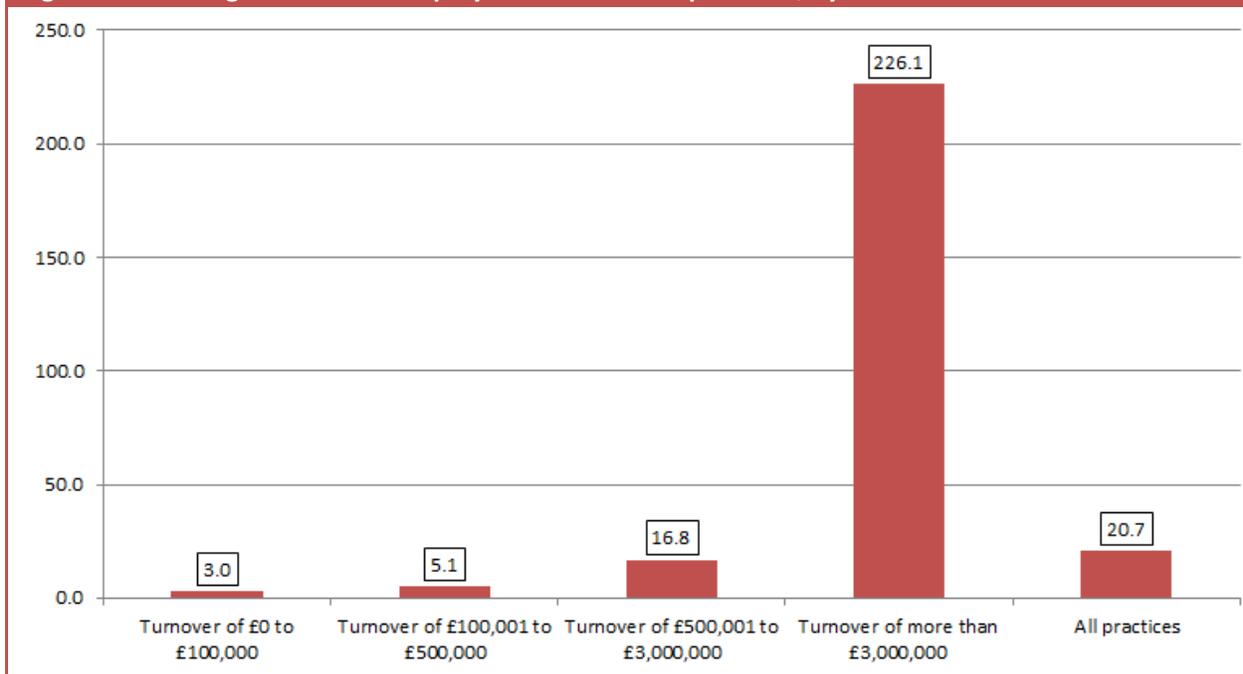


Table 2.10 below shows that 92 percent of employees in CLC-regulated practices work exclusively in conveyancing services. 5.6 percent of employees carry out a mix of conveyancing and probate work, and 2.4 percent work exclusively in probate. Other authorised persons, a category which potentially includes patent attorneys, trade mark attorneys, cost lawyers,

notaries public and some accountants, are the group most likely to work on matters other than conveyancing. This result requires further investigation since patent attorneys, trademark attorneys and cost lawyers are not individually authorised to carry out probate activities. Employed barristers work exclusively in conveyancing, but they are the smallest group in this sample, so it may be misleading to read too much into this particular finding.

Table 2.10: Proportion of employees engaging in particular kinds of work, by authorisation and turnover band					
	Turnover of £0 to £100,000	Turnover of £100,001 to £500,000	Turnover of £500,001 to £3,000,000	Turnover of more than £3,000,000	All practices
	Proportion of employees within band (%)	Proportion of all employees (%)			
Licensed Conveyancers					
Conveyancing matters only	88.9	82.9	88.1	100.0	89.1
Probate matters only	11.1	7.3	1.5	0.0	3.8
A mix of conveyancing and probate matters	0.0	9.8	10.4	0.0	7.1
Barristers					
Conveyancing matters only		100.0	100.0		100.0
Probate matters only		0.0	0.0		0.0
A mix of conveyancing and probate matters		0.0	0.0		0.0
Solicitors					
Conveyancing matters only	50.0	75.0	92.4	100.0	89.9
Probate matters only	0.0	7.7	3.8	0.0	3.4
A mix of conveyancing and probate matters	50.0	17.3	3.8	0.0	6.8
FCILEx					
Conveyancing matters only	100.0	89.3	93.9	100.0	94.0
Probate matters only	0.0	0.0	3.0	0.0	1.2
A mix of conveyancing and probate matters	0.0	10.7	3.0	0.0	4.8
Other authorised persons					
Conveyancing matters only	0.0	75.0	100.0	100.0	82.4
Probate matters only	0.0	15.0	0.0	0.0	5.9
A mix of conveyancing and probate matters	100.0	10.0	0.0	0.0	11.8

Table 2.10: Proportion of employees engaging in particular kinds of work, by authorisation and turnover band (Cont.)

Non-authorised persons					
Conveyancing matters only	54.5	90.0	94.1	99.1	95.5
Probate matters only	4.5	3.2	0.0	0.9	1.1
A mix of conveyancing and probate matters	40.9	6.8	5.9	0.0	3.4
Students and trainees					
Conveyancing matters only	60.0	77.1	98.9	100.0	92.9
Probate matters only	0.0	4.3	1.1	0.0	1.5
A mix of conveyancing and probate matters	40.0	18.6	0.0	0.0	5.6
All employees					
Conveyancing matters only	58.9	84.2	95.3	99.8	92.0
Probate matters only	2.6	5.4	1.4	0.2	2.4
A mix of conveyancing and probate matters	38.5	10.4	3.3	0.0	5.6

Supervision of Non-Authorised Persons

We have already seen (in table 2.9) that the largest category of employees working in CLC practices are the group we have labeled “non-authorised persons”. Although these are people who cannot carry out reserved legal activities without supervision, it should not be assumed that they lack in relevant expertise. In this part of the report we will consider responses to a range of questions about the employment of non-authorised persons.

Table 2.11: Proportion of practices using non-authorised employees to carry out reserved legal activities, by turnover band

	Turnover of £0 to £100,000	Turnover of £100,001 to £500,000	Turnover of £500,001 to £3,000,000	Turnover of more than £3,000,000	All practices
Proportion of all practices with at least one non-authorised employee (%)	42.9	67.5	67.7	100.0	66.9
Proportion of all practices using non-authorised employees to carry out reserved legal activities (%)	28.6	17.5	29.6	83.3	24.4
Proportion of only those practices with at least one non-authorised employee, that are using them to carry out reserved legal activities (%)	66.7	25.9	43.7	83.3	36.5

Breaking down all this data by turnover band, table 2.11 sets out the proportion of all practices with at least one non-authorised employee; the proportion of all practices using non-authorised employees to conduct reserved legal activities; and finally, it combines the data to reveal the proportion of only those practices with at least one non-authorised employee, that are using them to conduct reserved legal activities. This matters because non-authorised staff carrying out such work gives rise to a range of supervisory responsibilities within a practice, and potentially introduces additional regulatory risks. Looking at the second and third row together, reveals that although proportionally fewer practices in the lowest turnover band employ any non-authorised staff (just 28.6 percent, compared to 83.3 percent in the top band), those that do are more heavily reliant on those staff to carry out reserved legal activities than similarly staffed practices in the second or third band (which is to say, 66.7 percent of practices that have non-authorised employees in the lowest turnover band use them to carry out reserved legal activities, compared to less than half of such practices with turnover between £100,001 and £3,000,000).

Table 2.12: Gearing of staff within practices, by authorisation and turnover band						
	Minimum	Lower quartile	Median	Upper quartile	Maximum	Mean
Turnover of £0 to £100,000						
Number of non-authorised persons employed by practice to carry out reserved legal activities	1	1	1.5	2.5	3	1.8
Number of authorised persons in practice to oversee their work	1	1	1.5	2	2	1.5
Actual ratio of non-authorised employees to properly licensed supervisors	1	1	1	1.3	1.5	1.1
Ideal ratio of non-authorised employees to properly licensed supervisors	2	2	3	4.5	5	3.3
Turnover of £100,001 to £500,000						
Number of non-authorised persons employed by practice to carry out reserved legal activities	1	1	1	2	20	2.8
Number of authorised persons in practice to oversee their work	1	1	1	2	7	1.9
Actual ratio of non-authorised employees to properly licensed supervisors	0.3	1	1	1	2.9	1.1
Ideal ratio of non-authorised employees to properly licensed supervisors	1	1	2	4	5	2.5
Turnover of £500,001 to £3,000,000						
Number of non-authorised persons employed by practice to carry out reserved legal activities	1	1.5	2.5	6	26	5.9
Number of authorised persons in practice to oversee their work	2	2	2.5	4	4	2.9
Actual ratio of non-authorised employees to properly licensed supervisors	0.5	0.5	1	1.8	8.7	2
Ideal ratio of non-authorised employees to properly licensed supervisors	1	1	2	4	5	2.4

Table 2.12: Gearing of staff within practices, by authorisation and turnover band (cont.)

Turnover of more than £3,000,000						
Number of non-authorised persons employed by practice to carry out reserved legal activities	20	37.5	65	193	311	115.3
Number of authorised persons in practice to oversee their work	5	8.5	19	49.5	73	29
Actual ratio of non-authorised employees to properly licensed supervisors	0.8	2.5	5.3	8.6	11	5.6
Ideal ratio of non-authorised employees to properly licensed supervisors	1	3	7	9.5	10	6.3
All practices						
Number of non-authorised persons employed by practice to carry out reserved legal activities	1	1	2	4	311	18.5
Number of authorised persons in practice to oversee their work	1	1	2	4	73	5.7
Actual ratio of non-authorised employees to properly licensed supervisors	0.3	1	1	1.5	11	1.9
Ideal ratio of non-authorised employees to properly licensed supervisors	1	1	2	5	10	3.1

Table 2.12 includes only responses from practices that use non-authorised persons to carry out reserved legal activities (which is why the lowest “Minimum” number of non-authorised employees is 1, rather than 0). It shows the range of gearing between these employees and their supervisors, but in addition to showing the actual figures, it also records the respondents’ ideal staffing levels, in terms of how many non-authorised employees they believe an authorised person ought to supervise. There are practices in each of the top two turnover bands with staffing levels that are, by the respondents’ own admission, less than optimum. The highest optimum number of non-authorised persons per supervisor for practices with turnover of £500,001 to £3,000,000 is 5, but the highest actual number was 8.7. For practices with turnover of more than £3,000,000 the highest ideal number was 10, while the highest actual number was 11. These instances may be regarded as anomalies, however, as in aggregate the actual numbers were lower than the ideal numbers in each turnover band, and overall. It is interesting to observe that the ideal number of non-authorised persons per supervisor declines from 3.3 to 2.5 to 2.4 over the first three turnover bands, before increasing to 6.3 in the fourth. Less than 30 percent of the practices in the bottom turnover band employ at least one non-authorised person. A minority of small firms are comparatively reliant on the work of non-authorised employees (as was previously indicated in table 2.9). In those practices, the ratio of supervisors to supervisees is nearly 1:1. This can be seen in figure 2.10, which simplifies some of the findings in table 2.12.

Figure 2.10: Actual and ideal gearing of staff, by turnover band

	Number of appropriately authorised supervisors	Number of non-authorised employees (rounded to nearest whole number)
Turnover of £0 to £100,000		
Actual ratio of non-authorised employees to properly licensed supervisors		
Ideal ratio of non-authorised employees to properly licensed supervisors		
Turnover of £100,001 to £500,000		
Actual ratio of non-authorised employees to properly licensed supervisors		
Ideal ratio of non-authorised employees to properly licensed supervisors		
Turnover of £500,001 to £3,000,000		
Actual ratio of non-authorised employees to properly licensed supervisors		
Ideal ratio of non-authorised employees to properly licensed supervisors		
Turnover of more than £3,000,000		
Actual ratio of non-authorised employees to properly licensed supervisors		
Ideal ratio of non-authorised employees to properly licensed supervisors		
All practices		
Actual ratio of non-authorised employees to properly licensed supervisors		
Ideal ratio of non-authorised employees to properly licensed supervisors		

 = 1 member of staff

Table 2.13 sets out the range of responses relating to supervision of non-authorised persons. Initially the picture is quite uniform, with broad agreement on the regularity and location of supervision. 87.1 percent of all respondents maintained constant supervision, although around a quarter agreed that ideally they would monitor their employees' activity less often. All respondents stated that their supervision was carried out on-site and that this was, to their minds, the best way of doing it. That – in an age of automation, artificial intelligence and greatly improved telecommunications – on-site supervision should still be regarded universally as the ideal way in which to ensure that non-authorised staff are producing work of good quality, speaks directly to the value that practitioners place in hands-on experience, and in face-to-face communications with members of staff.

Table 2.13: Actual and ideal supervision arrangements for non-authorised employees carrying out reserved legal activities, by turnover band

	Turnover of £0 to £100,000	Turnover of £100,001 to £500,000	Turnover of £500,001 to £3,000,000	Turnover of more than £3,000,000	All practices
	Proportion within turnover band (%)				
Regularity of supervision					
Constantly	100.0	84.6	87.5	83.3	87.1
At least once a day	0.0	7.7	0.0	16.7	6.5
Two to four times a week	0.0	0.0	0.0	0.0	0.0
Once a week	0.0	7.7	12.5	0.0	6.5
Less than once a week	0.0	0.0	0.0	0.0	0.0
Ideal regularity for supervision					
Constantly	75.0	53.8	87.5	100.0	74.2
At least once a day	25.0	30.8	0.0	0.0	16.1
Two to four times a week	0.0	15.4	0.0	0.0	6.5
Once a week	0.0	0.0	12.5	0.0	3.2
Less than once a week	0.0	0.0	0.0	0.0	0.0
Location of supervisors					
On site	100.0	100.0	100.0	100.0	100.0
Off-site, typically visiting in person	0.0	0.0	0.0	0.0	0.0
Off-site, typically using information technology	0.0	0.0	0.0	0.0	0.0
Off-site, typically using traditional mail	0.0	0.0	0.0	0.0	0.0
Ideal location for supervisors					
On site	100.0	100.0	100.0	100.0	100.0
Off-site, typically visiting in person	0.0	0.0	0.0	0.0	0.0
Off-site, typically using information technology	0.0	0.0	0.0	0.0	0.0
Off-site, typically using traditional mail	0.0	0.0	0.0	0.0	0.0

Table 2.13: Actual and ideal supervision arrangements for non-authorized employees carrying out reserved legal activities, by turnover band (cont.)

Intensity of supervision					
Every file was examined in detail	0.0	30.8	25.0	0.0	19.4
Every file was checked	25.0	7.7	12.5	33.3	16.1
Files were routinely checked on a basis of risk	50.0	38.5	25.0	33.3	35.5
Files were routinely checked on a random basis	0.0	7.7	37.5	16.7	16.1
Files were checked sometimes on a basis of risk	0.0	0.0	0.0	0.0	0.0
Files were checked sometimes on a random basis	0.0	0.0	0.0	0.0	0.0
Intensity varied according to complexity of task and/or experience of staff	25.0	15.4	0.0	16.7	12.9
Ideal intensity of supervision					
Every file should be examined in detail	0.0	38.5	25.0	0.0	22.6
Every file should be checked	25.0	15.4	12.5	33.3	19.4
Files should be routinely checked on a basis of risk	50.0	38.5	12.5	33.3	32.3
Files should be routinely checked on a random basis	25.0	7.7	37.5	16.7	19.4
Files should be checked sometimes on a basis of risk	0.0	0.0	12.5	0.0	3.2
Files should be checked sometimes on a random basis	0.0	0.0	0.0	0.0	0.0
Intensity should vary according to complexity of task and/or experience of staff	0.0	0.0	0.0	16.7	3.2

Agreement breaks down however on the question of intensity of supervision. Around a third of respondents said that their files were checked routinely on the basis of risk, and that this was the ideal level of oversight. Almost one-in-five respondents said that they examined every file in detail, and just over one-in-six said that every file was checked, with the same proportion stating that they routinely checked files on a random basis.

Table 2.14: Amount of prior relevant legal experience of non-authorized persons employed by practices to carry out reserved legal activities, by turnover band

	Turnover of £0 to £100,000	Turnover of £100,001 to £500,000	Turnover of £500,001 to £3,000,000	Turnover of more than £3,000,000	All practices
Less than 3 years (%)	37.5	21.2	10.0	48.8	24.1
3 to 10 years (%)	12.5	22.1	37.5	41.3	27.5
More than 10 years (%)	50.0	62.7	52.5	10.0	50.9

Table 2.14 shows the years of relevant legal experience possessed by non-authorised persons working in CLC practices, broken down by turnover band. It reveals that at least half of the non-authorised persons working in practices in the first three turnover bands have worked in conveyancing, probate, or similar, related roles for more than 10 years. It would be a mistake to think of non-authorised persons as non-skilled, or lacking the knowledge necessary to perform to a high standard. The make-up of the first three turnover bands contrasts sharply with the fourth however, as just 10 percent of non-authorised persons working in the practices with turnovers in excess of £3,000,000 had more than 10 years' experience.

Gender Equality

One of the regulatory objectives under the Legal Services Act 2007 is promoting diversity in the legal professions. One of the notable achievements of licensed conveyancing is the way it has welcomed women into a sector that was, within living memory, entirely dominated by men.

Table 2.15: Proportion of staff and managers within practices who are female, by turnover band							
	Number of practices	Minimum	Lower quartile	Median	Upper quartile	Maximum	Mean
Turnover of £0 to £100,000							
Proportion of practices' staff (including managers) who are women (%)	44	50.0	60.0	75.0	100.0	100.0	75.8
Proportion of practices' managerial staff who are women (%)	44	0.0	50.0	55.0	100.0	100.0	66.3
Turnover of £100,001 to £500,000							
Proportion of practices' staff (including managers) who are women (%)	115	35.0	67.5	82.5	95.0	100.0	79.5
Proportion of practices' managerial staff who are women (%)	115	0.0	50.0	50.0	100.0	100.0	58.6
Turnover of £500,001 to £3,000,000							
Proportion of practices' staff (including managers) who are women (%)	33	50.0	75.0	80.0	95.0	100.0	80.9
Proportion of practices' managerial staff who are women (%)	33	0.0	35.0	50.0	90.0	100.0	57.4
Turnover of more than £3,000,000							
Proportion of practices' staff (including managers) who are women (%)	8	40.0	65.0	70.0	70.0	75.0	65.0
Proportion of practices' managerial staff who are women (%)	8	5.0	45.0	55.0	60.0	75.0	50.0
All practices							
Proportion of practices' staff (including managers) who are women (%)	200	35.0	65.0	80.0	95.0	100.0	78.6
Proportion of practices' managerial staff who are women (%)	200	0.0	45.0	50.0	100.0	100.0	58.6

Table 2.15 shows that almost four-fifths of the people working in CLC-regulated practices are women, some 78.6 percent of all managers and employees working in the sector. Although men are over-represented in management in comparison to their proportion in the workforce

as a whole (41.4 percent of managers, compared to just 21.4 percent of the total workforce), women still make up the majority of managers, 58.6 percent. This does slip to parity among the practices with the highest turnovers, (but these practices have a higher proportion of male staff in general, 35 percent).



Figure 2.11 is a simplified pictographic comparison of the average gender make-up of all staff in a CLC-regulated practice, and the average gender composition of managerial staff. It shows that although men comprise only around a fifth of all staff, they make up double that proportion of managers.

Succession Planning

Succession planning is a process for identifying and developing talent within an organisation, and developing people with the potential to fill key leadership roles. Succession planning increases the availability of experienced, capable employees, ensuring that staff are available to take on new responsibilities as positions become vacant. The regulatory return asked respondents whether they had a formal succession plan. It also inquired about the arrangements they had in place for the recruitment (applications process), selection (hiring), and progression (promotion) of staff, and whether or not these promoted equality of opportunity.

Table 2.16: Proportion of practices with policies in place to promote equality of opportunity, by turnover band

	Turnover of £0 to £100,000	Turnover of £100,001 to £500,000	Turnover of £500,001 to £3,000,000	Turnover of more than £3,000,000	All practices
Formal succession plan to develop internal candidates (%)	57.1	27.5	51.7	62.5	38.2
Recruitment policy that encourages a diverse range of applications (%)	64.3	42.5	41.4	87.5	47.3
Selection policy that hires a diverse range of applicants (%)	71.4	38.8	34.5	87.5	44.3
Progression policy that promotes a diverse range of candidates (%)	57.1	40.0	37.9	87.5	44.3

Table 2.16 shows that less than half of practices have in place recruitment, selection or progression policies that promote equality of opportunity, and less than two-fifths have a formal succession plan. A majority of CLC-regulated practices with turnovers in excess of £3,000,000 have succession policies, as do those with turnovers of £100,000 or less. CLC-regulated practices with turnover in the range £100,001 to £3,000,000 are less likely to have succession policies in place.

3. Dealing with Clients

We have already looked at the number and types of clients that used the services of CLC-regulated practices. This section looks at how clients were dealt with, and it includes questions about the means by which practices communicated with prospective or actual clients, their success in attracting new clients, the number and type of complaints they received and responses to them, and whether or not they carry out client satisfaction surveys.

Communications

	Turnover of £0 to £100,000	Turnover of £100,001 to £500,000	Turnover of £500,001 to £3,000,000	Turnover of more than £3,000,000	All practices
Telephone (%)	97.7	99.1	90.9	100.0	97.5
Face-to-face (%)	95.5	99.1	90.9	100.0	97.0
E-mail (%)	97.7	98.3	90.9	100.0	97.0
Mail (%)	90.9	92.2	90.9	100.0	92.0
Online interactive system (%)	13.6	18.3	30.3	75.0	21.5
Other (%)	15.9	9.6	6.1	37.5	11.5

Table 3.1 suggests that there is not much difference between turnover bands, with regards to how practices are contacted by consumers (the consistently lower than expected responses in the £500,001 to £3,000,000 band are almost certainly an artefact of the sample, with an uncharacteristically small number of responses to this question from practices within that band). Nearly all practices make it possible for consumers to communicate with them by telephone, face-to-face, and by e-mail, and a vast majority still offer access by traditional mail. What is interesting is the disparity in usage of online interactive systems, such as specialist web portals, apps, or video conferences. Some combination of these are used by three-quarters of all practices with turnovers of £3,000,000 or more, but this drops to 30.3 percent in the third band, 18.3 percent in the second, a just 13.6 percent of practices with turnovers up to £100,000. This probably reflects the current cost and expertise involved in developing and operating systems of this kind, but technological advances will remove such impediments and shifting consumer expectations will likely dictate such technologies' wider usage in the near term.¹

¹ https://www.citrix.com/content/dam/citrix/en_us/documents/products-solutions/workplace-transformation-unleash.pdf

Table 3.2: Proportion of consumers using particular methods to make initial contact with practices, by turnover band

	Minimum	Lower quartile	Median	Upper quartile	Maximum	Mean	Modified mean
Turnover of £0 to £100,000							
Telephone (%)	0.0	30.0	60.0	85.0	100.0	57.0	40.5
E-mail (%)	0.0	5.0	15.0	50.0	100.0	27.8	19.8
Face-to-face (%)	0.0	5.0	15.0	40.0	100.0	26.5	18.9
Mail (%)	0.0	0.0	5.0	10.0	100.0	13.1	9.3
Online interactive system (%)	0.0	0.0	0.0	7.5	100.0	8.1	5.8
Other means (%)	0.0	0.0	0.0	5.0	100.0	8.2	5.8
Turnover of £100,001 to £500,000							
Telephone (%)	5.0	40.0	55.0	75.0	100.0	56.6	43.1
E-mail (%)	0.0	10.0	20.0	40.0	100.0	28.5	21.7
Face-to-face (%)	0.0	5.0	15.0	35.0	100.0	26.4	20.1
Mail (%)	0.0	0.0	5.0	10.0	100.0	10.7	8.2
Online interactive system (%)	0.0	0.0	0.0	5.0	55.0	5.8	4.4
Other means (%)	0.0	0.0	0.0	0.0	50.0	3.2	2.4
Turnover of £500,001 to £3,000,000							
Telephone (%)	0.0	30.0	60.0	85.0	100.0	56.7	37.1
E-mail (%)	0.0	15.0	37.5	60.0	95.0	40.2	26.3
Face-to-face (%)	0.0	5.0	10.0	25.0	100.0	24.1	15.8
Mail (%)	0.0	0.0	5.0	25.0	100.0	18.9	12.4
Online interactive system (%)	0.0	0.0	5.0	10.0	50.0	13.0	8.5
Other means (%)	0.0	0.0	0.0	0.0	0.0	0.0	0.0
Turnover of more than £3,000,000							
Other means (%)	0.0	0.0	42.5	95.0	100.0	46.7	28.0
Telephone (%)	5.0	5.0	20.0	95.0	100.0	44.3	26.6
Online interactive system (%)	0.0	0.0	30.0	60.0	90.0	35.0	21.0
E-mail (%)	0.0	5.0	5.0	20.0	100.0	20.7	12.4
Mail (%)	0.0	0.0	2.5	5.0	100.0	18.3	11.0
Face-to-face (%)	0.0	0.0	0.0	5.0	5.0	1.7	1.0
All practices							
Telephone (%)	0.0	35.0	60.0	80.0	100.0	56.2	40.2
E-mail (%)	0.0	10.0	20.0	45.0	100.0	30.0	21.4
Face-to-face (%)	0.0	5.0	15.0	30.0	100.0	25.2	18.0
Mail (%)	0.0	0.0	5.0	10.0	100.0	12.9	9.2
Online interactive system (%)	0.0	0.0	0.0	10.0	100.0	8.9	6.3
Other means (%)	0.0	0.0	0.0	0.0	100.0	6.7	4.8

Table 3.2 shows the ways in which clients first made contact with practices. In the regulatory return, we asked respondents to give us their best estimates of the percentage of consumers using each method of communication to make an initial approach. Because they were approximations, the results did not always sum to 100 percent, so we converted the estimated means (averages) into modified means, which do. Because of all of this, the findings here, must be treated with caution, but they should still be considered as a fair reflection of the situation on the ground. Telephone, e-mail and face-to-face (in that order) remain the most popular means for contacting CLC-regulated practices, making up around four-fifths of all approaches. The only exception to this is in the highest turnover band, where 28 percent of initial approaches are made by other means, narrowly edging out the telephone, which was used by 26.6 percent of new customers. It should be noted that these firms also received almost twice as many approaches through online interactive systems as they did through conventional e-mails.

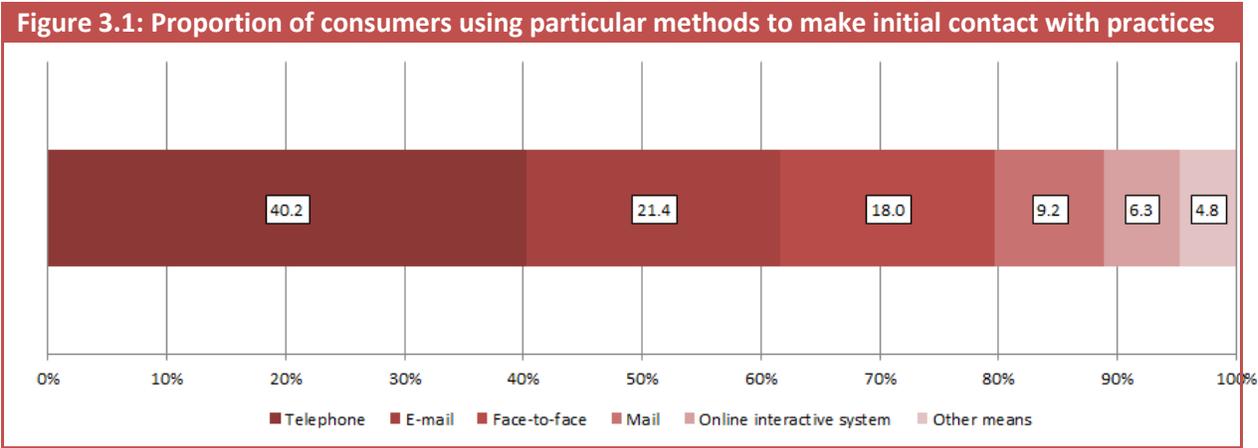


Figure 3.1 encapsulates the all practices data from Table 3.2, and it shows that the telephone remains the favourite means of initial inquiry for more than two-fifths of consumers.

Conversion Rates

Conversion marketing originated in electronic commerce, and at its core it is the idea that people who have made contact with a service, can and should be converted to paying customers. In the regulatory return we asked respondents about the number of approaches their practices received from individuals or organisations, and how many of them went on to become clients.

Table 3.3: Approaches and conversions to customers, by turnover band						
	Minimum	Lower quartile	Median	Upper quartile	Maximum	Mean
Turnover of £0 to £100,000						
Number of individuals or organisations that approached practice seeking advice	10.0	50.0	100.0	260.0	800.0	176.0
Number of individuals or organisations that went on to become clients	3.0	25.0	85.0	200.0	427.5	122.5
Conversion rate	0.15	0.60	0.75	0.93	1.00	0.74
Turnover of £100,001 to £500,000						
Number of individuals or organisations that approached practice seeking advice	5.0	100.0	400.0	600.0	3,000.0	468.0
Number of individuals or organisations that went on to become clients	0.0	50.0	280.0	498.0	1,400.0	332.6
Conversion rate	0.00	0.60	0.75	0.86	1.00	0.68
Turnover of £500,001 to £3,000,000						
Number of individuals or organisations that approached practice seeking advice	0.0	8.0	1,150.0	4,000.0	10,000.0	2,331.0
Number of individuals or organisations that went on to become clients	0.0	1.0	825.0	2,500.0	7,000.0	1,646.8
Conversion rate	0.07	0.63	0.73	0.90	0.97	0.67
Turnover of more than £3,000,000						
Number of individuals or organisations that approached practice seeking advice	120.0	6,000.0	12,261.0	30,000.0	76,671.0	22,885.0
Number of individuals or organisations that went on to become clients	90.0	4,000.0	8,233.7	29,700.0	51,369.6	16,937.8
Conversion rate	0.59	0.67	0.71	0.75	0.99	0.74
All practices						
Number of individuals or organisations that approached practice seeking advice	0.0	80.0	350.0	750.0	76,671.0	1,433.0
Number of individuals or organisations that went on to become clients	0.0	46.3	243.5	546.3	51,369.6	1,109.5
Conversion rate	0.00	0.60	0.75	0.89	1.00	0.69

Table 3.3 shows the range of the number of approaches to practices, and the number of successful conversions, broken down by turnover band. It reveals substantial differences between each band, which must reflect the close relationship between turnover and customer-base. The average number of approaches and conversions in the lowest turnover band are 176 and 122.5 respectively. In the second band they are 468 and 332.6, in the third they are 2,331 and 1,646.8, and in the fourth and highest turnover band, they are 22,885 and 16,937.8. In other words the average number of conversions in practices with turnovers of more than £3,000,000 is around 138 times the average of those with turnovers of £100,000 or less.

However, table 3.3 also shows the range of conversion rates. A conversion rate is the number of approaches a practice received, divided by the number of individuals or organisations that went on to become clients. A conversion rate of zero would signify that no approaches were converted into clients, whereas a conversion rate of one would signify that they all were. Across all practices

the average conversion rate was high, 0.69. There was not much difference in average conversion rates between practices in different turnover bands either, with all bands falling in a relatively narrow range, 0.67-0.74.

Complaints

Dealing quickly and efficiently with customer complaints is essential to the success of individual practices, but it is also important for the reputation of the sector as a whole. The credibility of all CLC practices rests on providing competent, timely services to clients. When problems arise, it is crucial that practices respond appropriately.

Table 3.4: Number of complaints practices received from clients and how they responded, by turnover band						
	Minimum	Lower percentile	Median	Upper percentile	Maximum	Mean
Turnover of £0 to £100,000						
Number of complaints per 1,000 clients	0.0	0.0	0.0	0.0	17.1	0.7
Number of formal complaints practice received directly from clients	0.0	0.0	0.0	0.0	2.0	0.1
Number of formal complaints resolved in-house	0.0	0.0	0.0	0.0	1.0	0.0
Number of formal complaints referred to the Legal Ombudsman	0.0	0.0	0.0	0.0	1.0	0.0
Turnover of £100,001 to £500,000						
Number of complaints per 1,000 clients	0.0	0.0	0.0	2.5	18.2	1.9
Number of formal complaints practice received directly from clients	0.0	0.0	0.0	1.0	10.0	0.9
Number of formal complaints practice received from clients that were resolved in-house	0.0	0.0	0.0	1.0	8.0	0.7
Number of complaints about the practice referred to the Legal Ombudsman	0.0	0.0	0.0	0.0	3.0	0.3
Turnover of £500,001 to £3,000,000						
Number of complaints per 1,000 clients	0.0	0.0	1.4	2.6	57.1	4.1
Number of formal complaints practice received directly from clients	0.0	1.0	2.0	5.0	48.0	8.1
Number of formal complaints practice received from clients that were resolved in-house	0.0	1.0	2.0	5.0	46.0	7.1
Number of complaints about the practice referred to the Legal Ombudsman	0.0	0.0	0.0	1.0	12.0	1.6

Table 3.4: Number of complaints practices received from clients and how they responded, by turnover band (cont.)

Turnover of more than £3,000,000						
Number of complaints per 1,000 clients	1.0	3.1	6.4	11.9	19.0	7.9
Number of formal complaints practice received directly from clients	18.0	44.0	81.5	285.0	511.0	168.8
Number of formal complaints practice received from clients that were resolved in-house	14.0	39.0	76.0	272.5	483.0	159.0
Number of complaints about the practice referred to the Legal Ombudsman	4.0	5.0	6.0	17.0	28.0	11.0
All practices						
Number of complaints per 1,000 clients	0.0	0.0	0.0	2.5	57.1	2.2
Number of formal complaints practice received directly from clients	0.0	0.0	0.0	1.0	511.0	8.8
Number of formal complaints practice received from clients that were resolved in-house	0.0	0.0	0.0	1.0	483.0	8.1
Number of complaints about the practice referred to the Legal Ombudsman	0.0	0.0	0.0	0.5	28.0	0.9

Dealing effectively with complaints is a key part of dealing effectively with clients. Table 3.4 shows the range of the number of formal complaints received by individual practices, and whether they were resolved internally or referred on to the Legal Ombudsman, broken down by turnover band. These data are difficult to interpret, however, because they lack scale. It is evident that higher turnover bands received more complaints in raw numbers, but we cannot tell if this is proportionally more complaints than were made against practices in lower bands. By creating another variable – “Number of complaints per 1,000 clients” – we are able to gauge the relative client approval levels of each band. As you can see there was a small but definite increase in the level of complaints from one band to the next: for every thousand clients at a practice with a turnover of £100,000 or less there was an average of just 0.7 of a complaint; in the next band for every thousand clients there were 1.9 complaints; that increased to 4.1 complaints per thousand clients in the third band; and 7.9 complaints for every thousand clients of practices with turnovers over £3,000,000.

Table 3.5: Self-assessment of practices' performance in relation to major areas of concern arising from consumers' complaints to the Legal Ombudsman, by turnover band

	Turnover of £0 to £100,000	Turnover of £100,001 to £500,000	Turnover of £500,001 to £3,000,000	Turnover of more than £3,000,000	All practices
	Proportion of practices within band (%)	Proportion of all practices (%)			
Delays					
Should have done a lot better	0.0	0.0	0.0	0.0	0.0
Should have done a little better	2.6	8.7	6.9	25.0	7.8
Adequate	5.3	11.5	6.9	25.0	10.1
Good	26.3	21.2	27.6	0.0	22.3
Very good	36.8	32.7	55.2	37.5	37.4
Excellent	28.9	26.0	3.4	12.5	22.3
Communication					
Should have done a lot better	0.0	0.0	0.0	12.5	0.6
Should have done a little better	0.0	7.7	10.3	0.0	6.1
Adequate	5.3	9.6	3.4	37.5	8.9
Good	15.8	25.0	24.1	0.0	21.8
Very good	44.7	35.6	51.7	37.5	40.2
Excellent	34.2	22.1	10.3	12.5	22.3
Instructions					
Should have done a lot better	0.0	0.0	0.0	0.0	0.0
Should have done a little better	0.0	3.8	3.4	0.0	2.8
Adequate	2.6	3.8	0.0	37.5	4.5
Good	18.4	20.2	24.1	12.5	20.1
Very good	34.2	36.5	58.6	37.5	39.7
Excellent	44.7	35.6	13.8	12.5	33.0

Table 3.5 offers a self-assessment of practices performance with regard to the Legal Ombudsman's three most common grounds for complaint. CLC-regulated practices in higher turnover bands may have generally graded themselves more severely than those in lower turnover bands because they have the resource to assess their work more dispassionately.

Table 3.6: Best suggestions for improving services, based on responses from previous regulatory return

Rank	Suggestion
1	Responding promptly to concerns raised by clients
2	Making more frequent telephone contact with your client
3	Training staff in client services and treating clients as people
4	Improve telephone services for clients, to avoid missed calls or voicemail
5	Double-checking standard/case management letters
6	Make communications more client-friendly, using less jargon
7	Include general information on conveyancing and timescales
8	Ensuring your client provides suitable evidence of the source of funds
9	Identifying and mitigating risks to accuracy, by changing workflow
10	Timing client communications correctly to determine any issues

In the previous Annual Regulatory Return (in 2013) we asked respondents to identify any improvements made to their organisations as a consequence of client satisfaction surveys or complaints. We were able to compile a list of their responses, so in the most recent regulatory return we were in a position to inquire which of their suggestions would most benefit the practices of the current respondents. Table 3.6 contains a “Top Ten” list of best suggestions. The top three – Responding promptly to concerns raised by clients; Making more frequent telephone contact with your client; Training staff in client services and treating clients as people – are all quite tightly focused on improving relationships with clients, by making them feel that they are a priority, that they are well informed and receiving personal attention, and that they are treated competently and with respect.

All practices benefit from a regular reminder of the importance of good client care, and one way that this objective might be achieved is through the implementation of customer satisfaction surveys, the findings of which are fed back into the development of company policy and perhaps longer-term business strategies.

Table 3.7: Proportion of practices that carried out customer satisfaction surveys, by turnover band

	Turnover of £0 to £100,000	Turnover of £100,001 to £500,000	Turnover of £500,001 to £3,000,000	Turnover of more than £3,000,000	All practices
Proportion of practices carrying out customer satisfaction surveys (%)	25.6	25.7	48.3	87.5	31.6

Table 3.7 shows the proportion of practices in each turnover band that carried out customer satisfaction surveys. Their use becomes more prevalent as turnover increases, with around a quarter of practices in the bottom two bands employing them, compared to almost half of practices with turnovers between £500,001 and £3,000,000, and almost 9 out of 10 in the top band. Depending on how surveys are structured, it may be that smaller practices lack the resources to carry them out. It may be that smaller practices decide there are too few clients to

justify the exercise, or that they work closely enough with those using their services that they already understand them perfectly well. However, it would be wrong to dismiss their possible benefits. For larger practices, the arguments against instituting some kind of customer satisfaction survey become more difficult. One of the regulatory objectives of the Legal Services Act 2007 is “[p]rotecting and promoting the interests of consumers of legal services”, and customer satisfaction surveys offer an easy and efficient way for practices to reassure themselves that they are meeting that requirement.

Appendix 1: The CLC Annual Regulatory Return 2014-15 Questionnaire

The CLC Annual Regulatory Return 2014-15 questionnaire was originally compiled using the cloud-based customizable survey platform SurveyMonkey. The ways in which some of the questions were asked was influenced by the limitations of that service. A hardcopy version of the survey was developed subsequently, and was used by a minority of respondents who had technical issues with the online survey. There were a few minor practical differences between the two versions of the survey, (for instance, to accommodate the absence of features such as drop-down boxes in the hardcopy version), but they are in all important respects the same. The online survey was dynamic, piping respondents to different questions, depending on their responses, and this feature is replicated in the hardcopy version, through the expedient of instructions which tell respondents to proceed to one section, or another, depending on their responses. It is the hardcopy version of the survey which is reproduced in this appendix.

Practices were contacted by e-mail, and invited to respond to the survey. The message included the following explanatory note, which outlined the content and purpose of the survey's different sections:

INFORMATION YOU WILL NEED TO COMPLETE THE RETURN

The Regulatory Return is interested primarily with the conduct of business during the calendar year 1st January 2014 to 31st December 2014.

The Regulatory Return is broken into sections, each of which focuses on a different area of regulatory concern. What follows is a list of the sections, and recommendations as to what data you may need to hand in order to provide the requisite responses:

This might seem like a lot of information but having it ready will make the Return much easier to complete and make the exercise much shorter in future years.

1. **Licensed Organisation:** Name and licence number of your organisation as they appear on your current CLC licence.
2. **Licensee Contact Information:** Your name and licence number as a senior manager/partner/owner of an organisation regulated by the CLC as they appear on your current CLC licence.
3. **Market Segmentation:** Data about where your organisation has offices, where its business originates, who you regard as your main competitor(s), the different kinds of

activities that make-up your workload, and whether or not you have been refused admission to – or ejected from – any mortgage lenders' panels.

4. **Workforce Information – Managers:** Data about the number of full time equivalent managers in your organisation, broken down by professional title and type of work (conveyancing/probate/both).
5. **Sole Practitioners:** Data to identify whether a manager was the only fee-earner in an organisation. (NB. Sole practitioners **do not** have to answer the sections described in italics below).
6. **Workforce Information – Other Employees:** *Data about the number of other full time equivalent employees in your organisation, broken down by professional title and type of work (conveyancing/probate/both).*
7. **Gearing and Supervision:** *Data about the number of non-authorized personnel carrying out reserved legal activities, and the number of authorised personnel monitoring their work. Also, details on the level of experience of any non-authorized staff, and on your actual and ideal arrangements for supervising such workers.*
8. **Disciplinary Issues with Individual Staff:** *You will be invited to complete a separate set of answers, accounting for each individual member of your staff who has been subject to an internal disciplinary process, investigation by a professional regulator, or investigation by an external organisation.*
9. **Succession and Diversity:** *Information about your recruitment, selection and progression policies, and any measures you have in place to ensure equality of opportunity for all employees regardless of age, gender, or caring responsibilities, as well as the gender balance in your organisation as a whole, and at management-level.*
10. **Dealing with Clients:** Information about the means by which clients approach your organisation, the proportions of clients using different methods of communication, the number of approaches prospective clients made to your organisation, and the number of approaches that were successfully converted into clients. It also asks about any formal complaints made against your organisation, how they were made and by whom

they were resolved. Lastly it asks questions about problems in service delivery identified by the Legal Ombudsman, and seeks solutions to those problems.

11. **The Proportionality of Specific Requirements:** This section asks about your feelings towards the remaining rules in the CLC's Code of Conduct, and about methods of regulation more broadly. Your responses will help to inform our regulatory arrangements review in 2016.
12. **Transactional Information:** Information about whether or not your organisation acted for both sides in a transaction, and your main sources of client instructions.
13. **Regulatory Compliance Information:** This section asks about measures your organisation took to make sure that you were in compliance with the CLC's Code of Conduct and Accounts Code.
14. **CLC Services Information:** Your chance to tell us what you like and dislike about the way you are regulated by the CLC, and give us your ideas for how things could be improved.
15. **Conclusion:** You can outline the greatest risks and opportunities facing your organisation, and provide a declaration relating to your responses to this survey.

Please note: An analysis to the responses to some of the sections outlined above have not been included in this report. For instance, there were too few responses to section 8, "Disciplinary Issues with Individual Staff", to make any meaningful comment. On the other hand, the responses to section 11, "The Proportionality of Specific Requirements", were omitted because they will instead be used to inform our upcoming review of regulatory arrangements and financial protection.

WELCOME TO THE CLC'S ANNUAL REGULATORY RETURN 2014/15

The purpose of the Annual Regulatory Return is to gather vital information about CLC-licensed organisations, which will be used to target better the CLC's regulatory activities.

This survey must be completed by a senior manager/partner/owner within the licensed organisation.

Only one response is required per licensed organisation.

This survey is most interested in how your organisation operated in the 2014 calendar year.

Before you begin: Please consult the notification e-mail, where you will find a description of the different sections that make up this survey, and you will be able to gather relevant records so that you can answer the questions quickly and easily.

The length of the Annual Regulatory Return will vary between organisations, but if you are properly prepared, it should only take 30-60 minutes to complete.

Questions marked with an asterisk (*) are mandatory.

If you have any questions, please contact Simon Thomson at the CLC on telephone number 01245 349599² or by email at simont@clc-uk.org

The closing date for the Annual Regulatory Return is midday on Friday 31st July 2015, by which time all CLC-licensed organisations must have submitted a completed response.

THANK YOU FOR YOUR TIME AND COOPERATION

² This number is no longer valid.

A: Licensed Organisation

1. What is the name of your organisation, as it appears on your current CLC licence?

* 2. What is your organisation's licence number, as it appears on your current CLC licence?

B: Licensee Contact Information

3. What is your name as it appears on your current CLC licence?

Forename:

Surname:

* 4. What is your individual licence number, as it appears on your current CLC licence?

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C: Market Segmentation

5. During 2014, in which region(s) did your organisation maintain offices? (Tick all that apply).

- Inner London
- Outer London
- East of England
- South-East England
- South-West England
- The West Midlands
- The East Midlands
- North-West England
- North-East England
- Yorkshire and the Humber
- North Wales
- South Wales

6. During 2014, from which region(s) did most of your organisation's completions or grants of probate originate? (Tick all that apply).

- Inner London
- Outer London
- East of England
- South-East England
- South-West England
- The West Midlands
- The East Midlands
- North-West England
- North-East England
- Yorkshire and the Humber
- North Wales
- South Wales

7. During 2014, what were the characteristics of the business(es) that you perceived to be your organisation's main competitor(s)? (Tick one in each category).

Size:	Geographic scale:	Regulated by:
<input type="checkbox"/> Sole practitioner(s) <input type="checkbox"/> Small firm(s) <input type="checkbox"/> Medium firm(s) <input type="checkbox"/> Large firm(s)	<input type="checkbox"/> Local <input type="checkbox"/> Regional <input type="checkbox"/> National	<input type="checkbox"/> Council for Licensed Conveyancers <input type="checkbox"/> Solicitors Regulation Authority <input type="checkbox"/> Chartered Institute of Legal Executives <input type="checkbox"/> Institute of Chartered Accountants of England and Wales

		<input type="checkbox"/> Other <input type="checkbox"/> Not regulated <input type="checkbox"/> Don't know
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8. During 2014, what percentage of your organisation's workload did each of the following activities comprise? (Your best estimates will suffice. If your organisation carried out no work in a particular category, simply enter 0).

Residential conveyancing (%)	
Commercial conveyancing (%)	
Wills, probate, or trusts (%)	
Non-reserved legal activities regulated by the CLC (%)	

9. Throughout the whole of 2014, what was the total number of clients that received services from your organisation? (One client with multiple completions or grants of probate still only counts as one client. Your best estimate will suffice).

--

10. During 2014, what percentage of your organisation's clientele did each of the following groups comprise? (Your best estimates will suffice. If your organisation carried out no work in a particular category, simply enter 0).

Private consumers (%)	
Small or medium-sized businesses, or charities, WITHOUT their own legal advisor (%)	
Small or medium-sized businesses, or charities, WITH their own legal advisor (%)	
Large businesses or Government (%)	

11. During 2014, was your organisation refused admission to any mortgage lender panels?

- No
- Yes

If "yes", which panel(s)?

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12. During 2014, was your organisation ejected from any mortgage lender panels?

- No
- Yes

If "yes", which panel(s)?

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D: Workforce Information: Managers

For the purpose of answering the following questions, these people are to be considered "managers":

- (a) if the body is a company and its affairs are managed by members, a member;*
- (b) if the body is a company and (a) does not apply, a director of the body;*
- (c) if the body is a partnership, a partner;*
- (d) if the body is a Limited Liability Partnership, an LLP member;*
- (e) if the body is an unincorporated body (other than a partnership), a member of its governing body; and*
- (f) a licensed conveyancer if sub-paragraphs (a)-(e) do not apply and the affairs of the body are not managed by another licensed conveyancer.*

* 13. During 2014, how many full time equivalent managers (authorised as Licensed Conveyancers) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Conveyancing only	
Probate only	
Mixed workload	

* 14. During 2014, how many full time equivalent managers (authorised as Barristers) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Conveyancing only	
Probate only	
Mixed workload	

* 15. During 2014, how many full time equivalent managers (authorised as Solicitors) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Conveyancing only	
Probate only	
Mixed workload	

* 16. During 2014, how many full time equivalent managers (authorised as FCILEx) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Conveyancing only	
Probate only	
Mixed workload	

* 17. During 2014, how many full time equivalent managers (other authorised persons) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Conveyancing only	
Probate only	
Mixed workload	

* 18. During 2014, how many full time equivalent managers (non-authorised persons) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Conveyancing only	
Probate only	
Mixed workload	

E: Sole Practitioners

19. During 2014, did you operate as a sole practitioner? If you were the only fee earner in your organisation in 2014, please select "Yes", and you can skip forward to the "Dealing with Clients" section. If there were other fee earners in your organisation in 2014, please select "No", and you will be asked to complete a series of questions about employees.

- Yes (go to section "K: Dealing with Clients")
- No

F: Workforce Information: Other Employees

* 20. During 2014, how many full time equivalent employees (authorised as Licensed Conveyancers) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Conveyancing only	
Probate only	
Mixed workload	

* 21. During 2014, how many full time equivalent employees (authorised as Barristers) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Conveyancing only	
Probate only	
Mixed workload	

* 22. During 2014, how many full time equivalent employees (authorised as Solicitors) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Conveyancing only	
Probate only	
Mixed workload	

* 23. During 2014, how many full time equivalent employees (authorised as CFILEx) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Conveyancing only	
Probate only	
Mixed workload	

* 24. During 2014, how many full time equivalent employees (other authorised persons) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Conveyancing only	
Probate only	
Mixed workload	

* 25. During 2014, how many full time equivalent employees (non-authorised persons, excluding students or trainees) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Conveyancing only	
Probate only	
Mixed workload	

* 26. During 2014, how many full time equivalent employees (students or trainees) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Conveyancing only	
Probate only	
Mixed workload	

27. During 2014, did your organisation employ any non-authorised persons to carry out reserved legal activities under the supervision of a Licensed Conveyancer or other appropriately regulated authorised person?

If your organisation used non-authorised persons to carry out reserved activities, please select "Yes", and you will be asked to complete a series of further questions about your supervision arrangements. If all reserved activities were carried out by appropriately authorised persons, please select "No", and you can skip forward to the "Disciplinary Issues with Individual Staff" section.

- Yes
- No (go to section "H: Disciplinary Issues with Individual Staff")

G: Gearing and Supervision

28. During 2014, how many non-authorized persons did your organisation employ to carry out reserved legal activities, and how many appropriately regulated authorised persons were there to oversee their work?

Number of non-authorized persons carrying out reserved legal activities	
Number of authorised persons supervising their work	

29. Thinking about the non-authorized persons your organisation employed to carry out reserved legal activities in 2014, how much prior experience did they have of working in the relevant legal field (conveyancing or probate)? (Your best estimates will suffice. Responses must sum to 100).

Percentage of non-authorized persons with less than 3 years experience (%)	
Percentage of non-authorized persons with between 3 and 10 years experience (%)	
Percentage of non-authorized persons with 10 or more years experience (%)	

30. Regardless of the circumstances in your own organisation, what do you think would be the ideal ratio of properly regulated supervisors to non-regulated employees carrying out reserved legal activities?

Ideally, 1 authorised person would supervise this many non-regulated employees carrying out reserved legal activities	
---	--

31. During 2014, how often were properly regulated supervisors available to interact with the non-regulated employees who were carrying out reserved legal activities? (Select the option that mostly closely resembles the situation that existed within your organisation).

- Constantly
- At least once a day
- Two to four times a week
- Once a week
- Once a fortnight
- Once a month
- Less than once a month
- Other (please specify)

--

32. Regardless of the circumstances in your own organisation, ideally how often should properly regulated supervisors be available to interact with non-regulated employees who were carrying out reserved legal activities? (Select the option that best reflects your ideal).

- Constantly
- At least once a day
- Two to four times a week
- Once a week
- Once a fortnight
- Once a month
- Less than once a month
- Never, only authorised persons should be carrying out these kinds of activities
- Never, these activities should not be reserved
- Other (please specify)

33. During 2014, in relation to these non-regulated employees, where were the properly authorised supervisors most often located? (Select the option that most closely resembles the situation that existed within your organisation).

- On site
- Off-site, typically visiting in person
- Off-site, typically using information technology
- Off-site, typically using traditional mail
- Other (please specify)

34. Regardless of the situation in your own organisation, in relation to non-regulated employees, where should their properly authorised supervisors ideally be located? (Select the option that most closely resembles your ideal).

- On site
- Off-site, typically visiting in person
- Off-site, typically using information technology
- Off-site, typically using traditional mail
- Never, only authorised persons should be carrying out these kinds of activities
- Never, these activities should not be reserved
- Other (please specify)

35. During 2014, how intensive was the supervision that the authorised persons provided to the non-regulated employees who were carrying out reserved legal activities? (Select the option that most closely resembles the situation that existed within your organisation).

- Every file was examined in detail
- Every file was checked
- Files were routinely checked on a basis of risk
- Files were routinely checked on a random basis
- Files were sometimes checked on a basis of risk
- Files were sometimes checked on a random basis
- Files were rarely checked on a basis of risk
- Files were rarely checked on a random basis
- Other (please specify)

36. Regardless of the situation in your own organisation, ideally how intensively should authorised persons supervise the work of non-regulated employees carrying out reserved legal activities? (Select the option that most closely resembles your ideal)

- Every file was examined in detail
- Every file was checked
- Files were routinely checked on a basis of risk
- Files were routinely checked on a random basis
- Files were sometimes checked on a basis of risk
- Files were sometimes checked on a random basis
- Files were rarely checked on a basis of risk
- Files were rarely checked on a random basis
- N/A, only authorised persons should be carrying out these kinds of activities
- N/A, these activities should not be reserved
- Other (please specify)

H: Disciplinary Issues with Individual Staff

37. Since 1 January 2014, have any of your staff (owners or employees) been subject to:

- (a) an internal disciplinary process for serious misconduct that could result in suspension or dismissal?
- (b) an investigation by their profession's regulatory body?
- (c) an investigation by an external organisation, such as the police?

If the answer to any of these questions is yes, please select "Yes". You will then be invited to complete a separate set of answers for each individual who has been subject to a disciplinary process, investigation by a professional regulator, or investigation by an external organisation.

If no staff have been subject to any disciplinary process or investigations since 1 January 2014, select "No", and you will proceed to the next section.

- Yes
- No (go to section "J: Succession and Diversity")

I: Individual Staff Information

Please complete a separate set of these "Individual Staff Information" questions for each owner or employee who was the subject of a disciplinary process, regulatory investigation, or investigation by an external organisation, during the period since 1 January 2014.

38. What was/is the cause for the disciplinary action against the individual member of staff in question? (Select all that apply).

- There was no disciplinary action
- Negligence
- Theft (attempted or actual)
- Fraud (attempted or actual)
- Other (please specify)

39. Which regulatory bodies are, or have been, involved? (Select all that apply).

- There was no investigation by a regulatory body
- Council for Licensed Conveyancers
- Bar Standards Board
- Chartered Institute of Legal Executives
- Solicitors Regulation Authority
- Institute of Chartered Accountants in England and Wales
- Other (please specify)

40. Which external organisations are, or have been, involved? (Select all that apply).

- There has been no investigation by an external organisation
- Advertising Standards Authority
- Financial Conduct Authority
- Her Majesty's Revenue and Customs
- Legal Ombudsman
- Police
- Trading Standards
- Other (please specify)

41. Since 1 January 2014, have any other members of your staff (owners or employees) been subject to:
- (a) an internal disciplinary process for serious misconduct that could result in suspension or dismissal?
 - (b) an investigation by their profession's regulatory body?
 - (c) an investigation by an external organisation, such as the police?

If the answer to any of these questions is yes, please select "Yes", and you will be invited to complete another set of "Individual Staff Information" questions.

If no other staff have been subject to any disciplinary process or investigations since 1 January 2014, select "No", and you will proceed to the next section.

- Yes (repeat this section for each additional staff member, changing details as appropriate)
- No (go to section "J: Succession and Diversity")

*** REPEAT THIS SECTION AS REQUIRED ***

J: Succession and Diversity

Succession planning is a process for identifying and developing internal candidates to fill business critical or leadership roles within a company. It increases the availability of experienced, capable employees, ready to assume senior roles as they become vacant.

42. Does your organisation have a formal succession plan?

- Yes
- No

43. Does your organisation have a RECRUITMENT policy that promotes equality of opportunity by encouraging applications from a broad cross-section of society, and where all else is equal, perhaps even favours those from a disadvantaged background?

- Don't know
- No
- Yes

44. Does your organisation have a SELECTION policy that promotes equality of opportunity by hiring applicants from a broad cross-section of society, and where all else is equal, perhaps even favours those from a disadvantaged background?

- Don't know
- No
- Yes

45. Does your organisation have a PROGRESSION policy that promotes equality of opportunity by encouraging the promotion of employees from a broad cross-section of society, and where all else is equal, perhaps even favours those from a disadvantaged background?

- Don't know
- No
- Yes

* 46. In 2013 the CLC profiled the diversity of its regulated community, and identified three possible areas of concern:

(1) The workforce comprises mostly younger or older people, and the lack of a proportionate pool of skilled and experienced middle-aged workers raises questions about sustainability;

(2) Women make up 69% of the workforce, but men are more than twice as likely to fill management positions, which raises questions about gender equality; and

(3) A large minority of the workforce also have caring responsibilities outside of work, but disproportionately few of them go on to obtain managerial roles, which raises questions about fairness and flexibility.

With the benefit of hindsight, how would you rate your organisation's performance with regard to each of these three criteria during 2014? (Tick one box in each row)

	Should have done a lot better	Should have done a little better	Adequate	Good	Very good	Excellent
Ensuring a stable supply of appropriately skilled and experienced workers of all ages	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ensuring equal opportunities for workers at all stages in their careers, regardless of gender	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ensuring working practices do not disproportionately disadvantage workers with caring responsibilities	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please use this space to make any comments or clarifications:

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47. During 2014, what policies were in place to prevent such problems from adversely affecting your own organisation?

(Please insert examples alongside the appropriate areas of concern. If you do not currently have a policy addressing a particular concern, you may alternatively suggest a policy that could be applied).

Ensuring a stable supply of appropriately skilled and experienced workers of all ages

--

Ensuring equal opportunities for workers at all stages in their careers, regardless of gender

--

Ensuring working practices do not disproportionately disadvantage workers with caring responsibilities

--

48. During 2014, women made up approximately what proportion of each of the following groups within your organisation?

	Percentage (answer to the nearest 5%)	
All staff (including managerial staff)	<table border="1"><tr><td></td></tr></table>	
Managerial staff	<table border="1"><tr><td></td></tr></table>	

K: Dealing with Clients

49. By what means can clients access your organisation's services? (Select all that apply).

- Face-to-face
- Telephone
- Mail
- E-mail
- Online interactive system
- Other (please specify)

--

50. What proportion of your organisation's clients use each of these different methods of access to make initial contact? (Only approximate estimates are expected, please attempt to get total to sum to 100%).

	Proportion of clients using each method to establish initial contact (%)
Face-to-face	
Telephone	
Mail	
E-mail	
Online interactive system	
Other	

51. During 2014, how many individuals or organisations approached your organisation (by any method) seeking advice, and what proportion of them went on to become clients? (If you do not have precise numbers, your best estimates will suffice).

Number of approaches	
Proportion who went on to become clients (%)	

52. How many formal complaints did your organisation receive directly from clients in 2014?

--

53. How many formal complaints from clients did your organisation resolve in-house in 2014?

--

54. How many complaints regarding your organisation were referred to the Legal Ombudsman in 2014?

--

55. There are three main areas of concern arising from consumers' complaints to the Legal Ombudsman:
 (1) delay;
 (2) failure to communicate; and
 (3) failure to follow instructions.

With the benefit of hindsight, how would you rate your organisation's performance with regard to each of these three criteria during 2014? (Tick one box in each row)

	Should have done a lot better	Should have done a little better	Adequate	Good	Very good	Excellent
Delay	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Failure to communicate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Failure to follow instructions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please use this space to make any comments or clarifications:

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56. Do you have any suggestions, perhaps based on your own organisation's experiences, for other CLC regulated entities trying to overcome the major complaints presented to the Legal Ombudsman? (Insert your suggestions, if any, alongside the appropriate area of concern).

Delay	
Failure to communicate	
Failure to follow instructions	

57. Does your organisation carry out any client satisfaction surveys?

- Yes
- No

58. During the last Annual Regulatory Return, we asked respondents to identify improvements made to their organisations as a result of client satisfaction surveys or complaints.

From the list of their suggestions below, please select the three that you think would most benefit your organisation (do this by placing one tick, appropriately, in each of the three columns).

Alternatively, you can add your own suggestion, by selecting "Other", and providing further details in the text box.

	Best suggestion	2 nd best suggestion	3 rd best suggestion
Identifying and mitigating risks to accuracy, by changing workflow	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Double-checking standard/case management letters	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Providing support at an earlier stage in the transaction	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ensuring your client provides suitable evidence of the source of funds	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Making clearer who is a client's main point of contact	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Offering a private office for clients when they bring in their instruction papers	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Motivating staff with monthly client service award	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Training staff in client services and treating clients as people	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Timing client communications correctly to determine any issues	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Making more frequent telephone contact with your client	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Responding promptly to concerns raised by clients	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Improve telephone services for clients, to avoid missed calls or voicemail	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Make communications more client-friendly, using less jargon	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Include general information on conveyancing and timescales	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Offering clients the choice of communicating by their preferred method	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Advise clients in initial letter to add firm's email addresses as a safe sender	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Provide an indication of all likely fees and disbursements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Provide explanatory notes (or FAQs) on a website	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Where changes are made to estimate of charges, make this clearer to clients	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Other (please provide details):	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

L: The Proportionality of Specific Requirements

Prior to the introduction of the Legal Services Act 2007, prescriptive rules were used to ensure that legal professionals lived up to the expected standards. Now though, the CLC's regulatory arrangements are focused primarily on the "outcomes" that its regulated community are expected to deliver for their clients. The CLC's Code of Conduct sets out "principles", which are broadly stated ideals, as well as "specific requirements", which are the remaining set of rules that the CLC's regulated community are still expected to follow.

This section will ask a series of specific questions about "specific requirements", before making a broader inquiry into attitudes toward Outcomes Focused Regulation.

59. Specific requirements under Overriding Principle 1. Act with independence and integrity

Consider the specific requirements imposed by the Code of Conduct, which have been set out below. Please indicate the extent of the demands that they place on your organisation, how beneficial you perceive them to be for the reputation and efficiency of the regulated community, and whether or not you regard them as being proportionate over all.

Complying with anti-money laundering and prevention of financing terrorism legislation...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent
Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient

When acting as a CLC licensee, you accept instructions only to act in a matter which is regulated by the CLC...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent

Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient
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All business communications, websites and office premises must display information confirming the entity is regulated by the CLC and the names of the Managers (identifying those who are Authorised Persons)...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent
Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient

Please use this space to make any comments or clarifications:

60. Specific requirements under Overriding Principle 2. Maintain high standards of work

Consider the specific requirements imposed by the Code of Conduct, which have been set out below. Please indicate the extent of the demands that they place on your organisation, how beneficial you perceive them to be for the reputation and efficiency of the regulated community, and whether or not you regard them as being proportionate over all.

Control of an entity is from a permanent fixed address in England or Wales...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent

Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient
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A Manager who is an Authorised Person is responsible for ensuring that all of the entity's employees are properly supervised...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent
Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient

You make provision for alternative supervision arrangements in case of illness, accident or other unforeseen event...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent
Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient

You maintain proper records to evidence your arrangements and controls and how they are applied...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
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Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent
Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient

Please use this space to make any comments or clarifications:

61. Specific requirements under Overriding Principle 3. Act in the best interests of your Clients

Consider the specific requirements imposed by the Code of Conduct, which have been set out below. Please indicate the extent of the demands that they place on your organisation, how beneficial you perceive them to be for the reputation and efficiency of the regulated community, and whether or not you regard them as being proportionate over all.

Where the entity represents both sides in a transaction, each party is represented by different Authorised Persons conducting themselves in the matter as though they were members of different entities...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent
Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient

Ensure adequate indemnity arrangements for claims made against you by purchasing professional indemnity insurance for a minimum of 6 years from the expiry of your period of professional indemnity insurance...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent

regulated community									
Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient

If you seek to exclude or limit liability, you do so only to the extent that such exclusion or limitation is above the minimum level of cover provided by CLC approved professional indemnity insurance; gain the Client's written consent...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent
Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient

When offering and providing services which are not regulated by the CLC, you advise your Client of this and inform them in writing that the activity is not covered by CLC-approved professional indemnity insurance or the CLC's Compensation Fund...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent
Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient

Before or when accepting instructions, you inform Clients in writing of the terms on which the instructions are accepted, a complete, accurate estimate of fees and disbursements to be charged and if and when they are likely to change...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent
Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient

You promptly inform the Client in writing of the existence and amount of any sum payable (whether directly or indirectly) as a result of receipt of that Client's instructions...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent
Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient

With the exception of disbursements, you do not delay completion because fees are outstanding to you...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent

Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient
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You discuss and agree with the Client how costs will be paid, whether directly by the Client, by public funding, through an insurance policy or otherwise...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent
Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient

Please use this space to make any comments or clarifications:

62. Specific requirements under Overriding Principle 5. Deal with regulators and ombudsmen in an open and co-operative way

Consider the specific requirements imposed by the Code of Conduct, which have been set out below. Using the drop down menus please indicate the extent of the demands that they place on your organisation, how beneficial you perceive them to be for the reputation and efficiency of the regulated community, and whether or not you regard them as being proportionate over all.

You make the Compensation Fund contribution determined by the CLC...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent
Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient

You systematically identify, monitor and manage risks to the delivery of this Code's outcomes...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent
Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient

You promptly notify insurers in writing of any facts or matters which may give rise to a claim under CLC-approved professional indemnity insurance...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent
Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient

You promptly notify the CLC in writing of any facts or matters which may give rise to a claim under its Compensation Fund...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent

Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient
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You obtain permission from the CLC before offering Reserved legal activities: as a new business; in an entity regulated by another Approved Regulator; or through an entity with a Manager who is not a Licensed Conveyancer...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent
Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient

You notify the CLC of any material breach of this Code, whether by you, the entity or any other person...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent
Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient

You notify the CLC of a change as set out in the CLC's Notification Code...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
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Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent
Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient

Please use this space to make any comments or clarifications:

63. Specific requirements under Overriding Principle 6. Promote equality of access and service

Consider the specific requirements imposed by the Code of Conduct, which have been set out below. Using the drop down menus please indicate the extent of the demands that they place on your organisation, how beneficial you perceive them to be for the reputation and efficiency of the regulated community, and whether or not you regard them as being proportionate over all.

Any allegation of (direct or indirect) discrimination, victimisation and harassment is investigated thoroughly, resulting, where appropriate, in disciplinary action...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent
Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient

From the outset you advise Clients in writing of their right to make a complaint, how to make it, to whom, and the timeframes involved...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent

regulated community									
Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient

You advise Clients in writing of their right to have their complaint escalated to the Legal Ombudsman and provide them with contact details and timeframes of that body...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent
Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient

You keep a record of complaints received and any action taken as a result...

Demands placed on my organisation	<input type="checkbox"/> Intolerable	<input type="checkbox"/> Very onerous	<input type="checkbox"/> Onerous	<input type="checkbox"/> Somewhat onerous	<input type="checkbox"/> Neither onerous nor easy	<input type="checkbox"/> Somewhat easy	<input type="checkbox"/> Easy	<input type="checkbox"/> Very easy	<input type="checkbox"/> Effortless
Outcomes for the regulated community	<input type="checkbox"/> Unacceptable	<input type="checkbox"/> Very bad	<input type="checkbox"/> Bad	<input type="checkbox"/> Somewhat bad	<input type="checkbox"/> Neither good nor bad	<input type="checkbox"/> Somewhat good	<input type="checkbox"/> Good	<input type="checkbox"/> Very good	<input type="checkbox"/> Excellent
Over all the requirement is	<input type="checkbox"/> Extremely strict	<input type="checkbox"/> Very strict	<input type="checkbox"/> Strict	<input type="checkbox"/> Somewhat strict	<input type="checkbox"/> Proportionate	<input type="checkbox"/> Somewhat lenient	<input type="checkbox"/> Lenient	<input type="checkbox"/> Very lenient	<input type="checkbox"/> Extremely lenient

Please use this space to make any comments or clarifications:

64. The CLC's current system of Outcomes-Focused Regulation is a form of "principle-based" regulation, whereas the old system was "rule-based".

According to its supporters, PRINCIPLE-BASED regulation provides guidance that can be applied to the full range of circumstances that can arise in practice, it can cope with rapid changes of the modern business environment, it prevents the development of a mechanistic, "box-ticking" approach to decision-making and the use of legalistic loopholes to avoid compliance with guidance; it focuses on the spirit of the guidance and encourages responsibility and the exercise of professional judgement, which are key elements of professions.

On the other hand, supporters of a RULE-BASED approach argue that compliance with such guidance is easier since the requirements are clearly set out, prescriptive and leave little room for misunderstanding. Furthermore, rule-based approaches are easier to enforce.

Using the scale below, please indicate which form of regulation you would prefer for you organisation. (Tick one).

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Very strongly prefer principle-based regulation	Strongly prefer principle-based regulation	Prefer principle-based regulation	Somewhat prefer principle-based regulation	Prefer neither principle-based nor rule-based regulation	Somewhat prefer rule-based regulation	Prefer rule-based regulation	Strongly prefer rule-based regulation	Very strongly prefer rule-based regulation

Please use this space to make any comments or clarifications:

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65. If you or your organisation had experience of regulation under the CLC's old rule-based system (which ran until October 6th, 2011), place one tick in each row to indicate which system was...

	The old rule-based system	The current principle-based system	Both systems are much the same	N/A, I never worked under the old rule-based system
... easier to understand?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
... easier to work under?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
... more efficient?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
... more effective?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please use this space to make any comments or clarifications:

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M: Transactional Information

66. Did your organisation act for both sides in a transaction, at any time in 2014?

- Yes
- No

67. What were your organisation's main sources for client instructions in 2014? (Only approximate estimates are expected, if you received no instructions from a particular source enter a 0 beside it, and please attempt to get the total to sum to 100%).

	Proportion of clients using each method to establish initial contact (%)
Referral arrangements	
New clients approaching your business directly	
Old clients returning to use your services again	
Contractual arrangements with another organisation	
Other	

Please use this space to make any comments or clarifications:

--

N: Regulatory Compliance Information

68. During 2014, did your organisation take any of the following steps to ensure compliance with the Code of Conduct's outcomes? (Select all that apply)

- N/A, No steps were taken to ensure compliance with the Code of Conduct' outcomes
- Performance against each outcome is regularly assessed
- Senior managers/owners identify and review risks of any outcome not being achieved
- Management information systems provide relevant compliance data
- Planned checks/audits undertaken on operational practices
- Other

Please use this space to make any comments or clarifications:

69. During 2014, did your organisation take any of the following steps to ensure that your accounting practices complied with the CLC's Accounts Code provisions? (Select all that apply)

- N/A, No steps were taken to ensure that accounting practices complied with the CLC's Accounts Code provisions
- Exception reporting to managers
- Internal audit programme
- Routine planned checks by accounting staff/managers/owners
- Regular management information reports
- Other

Please use this space to make any comments or clarifications:

70. Does your organisation produce monthly bank reconciliations in accordance with the requirements of the Accounts Code?

- Yes
- No

Please use this space to make any comments or clarifications:

O: CLC Services Information

71. Do you have any suggestions as to how we might improve our regulatory services?

72. Please use this space to make any comments or add any other information you feel may be of relevance:

P: Conclusion

73. What are the greatest risks confronting your business?

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74. What are the greatest opportunities open to your business? *

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75. I confirm the information provided in this 'Annual Regulatory Return' is true, accurate and complete, and that all material information has been provided.

Name:

Role within the licensed organisation:

Date:

Appendix 2: Select Survey Results

The following tables contain a basic analysis of responses to most of the questions in the Annual Regulatory Return. It is not comprehensive, as some questions did not lend themselves to such simple reporting, and others will be analysed elsewhere, but it provides a fair overview of the survey findings. The findings were part of a report generated automatically by the data collection platform, SurveyMonkey.

5. During 2014, in which region(s) did your organisation maintain offices? (Tick all that apply).

Answer Options	Response Percent	Response Count
Inner London	1.8%	4
Outer London	7.2%	16
East of England	9.5%	21
South-East England	22.2%	49
South-West England	12.7%	28
The West Midlands	10.9%	24
The East Midlands	7.2%	16
North-West England	14.5%	32
North-East England	4.5%	10
Yorkshire and the Humber	7.7%	17
North Wales	1.8%	4
South Wales	5.9%	13
<i>answered question</i>		221

6. During 2014, from which region(s) did most of your organisation's completions or grants of probate originate? (Tick all that apply).

Answer Options	Response Percent	Response Count
Inner London	8.8%	17
Outer London	14.5%	28
East of England	15.0%	29
South-East England	28.5%	55
South-West England	18.1%	35
The West Midlands	13.5%	26
The East Midlands	10.9%	21
North-West England	17.6%	34
North-East England	7.3%	14
Yorkshire and the Humber	11.9%	23
North Wales	5.7%	11
South Wales	7.8%	15
<i>answered question</i>		193

7. During 2014, what were the characteristics of the business(es) that you perceived to be your organisation's main competitor(s)?

Size					
Answer Options	Sole practitioner(s)	Small firm(s)	Medium firm(s)	Large firm(s)	Response Count
Our main competitor(s) were	6	59	82	65	212

Geographic scale				
Answer Options	Local	Regional	National	Response Count
Our main competitor(s) were	109	43	59	211

Regulated by								
Answer Options	Council for Licensed Conveyancers	Solicitors Regulation Authority	Chartered Institute of Legal Executives	Institute of Chartered Accountants of England and Wales	Other	Not regulated	Don't know	Response Count
Our main competitor(s) were	48	152	0	0	4	0	5	209

Question Totals								212
<i>answered question</i>								212

8. During 2014, what percentage of your organisation's workload did each of the following activities comprise? (Your best estimates will suffice. If your organisation carried out no work in a particular category, simply enter 0).

Answer Options	Response Average	Response Total	Response Count
Residential conveyancing (%)	88.59	18,869	213
Commercial conveyancing (%)	4.85	902	186
Wills, probate, or trusts (%)	7.17	1,262	176
Non-reserved legal activities regulated by the CLC (%)	2.43	367	151
<i>answered question</i>			214

10. During 2014, what percentage of your organisation's clientele did each of the following groups comprise? (Your best estimates will suffice. If your organisation carried out no work in a particular category, simply enter 0).

Answer Options	Response Average	Response Total	Response Count
Private consumers (%)	94.08	19,850	211
Small or medium-sized businesses, or charities, WITHOUT their own legal advisor (%)	5.68	1,000	176
Small or medium-sized businesses, or charities, WITH their own legal advisor (%)	.40	55	138
Large businesses or Government (%)	1.46	195	134
<i>answered question</i>			211

11. During 2014, was your organisation refused admission to any mortgage lender panels?

Answer Options	Response Percent	Response Count
No	59.8%	125
Yes	40.2%	84
<i>answered question</i>		209

12. During 2014, was your organisation ejected from any mortgage lender panels?

Answer Options	Response Percent	Response Count
No	93.5%	200
Yes	6.5%	14
<i>answered question</i>		214

13. During 2014, how many full time equivalent managers (authorised as Licensed Conveyancers) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Answer Options	Response Average	Response Total	Response Count
Conveyancing Only	1.76	377	214
Probate Only	.09	19	214
Mixed Workload	.23	49	214
<i>answered question</i>			214

14. During 2014, how many full time equivalent managers (authorised as Barristers) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Answer Options	Response Average	Response Total	Response Count
Conveyancing Only	.57	122	214
Probate Only	.01	3	214
Mixed Workload	.02	5	214
<i>answered question</i>			214

15. During 2014, how many full time equivalent managers (authorised as Solicitors) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Answer Options	Response Average	Response Total	Response Count
Conveyancing Only	.86	183	214
Probate Only	.06	13	214
Mixed Workload	.07	15	214
<i>answered question</i>			214

16. During 2014, how many full time equivalent managers (authorised as FCILEx) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Answer Options	Response Average	Response Total	Response Count
Conveyancing Only	.71	153	214
Probate Only	.03	6	214
Mixed Workload	.04	9	214
<i>answered question</i>			214

17. During 2014, how many full time equivalent managers (other authorised persons) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Answer Options	Response Average	Response Total	Response Count
Conveyancing Only	.69	147	214
Probate Only	.01	3	214
Mixed Workload	.02	5	214
<i>answered question</i>			214

18. During 2014, how many full time equivalent managers (non-authorized persons) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Answer Options	Response Average	Response Total	Response Count
Conveyancing Only	.94	202	214
Probate Only	.03	7	214
Mixed Workload	.11	23	214
<i>answered question</i>			214

19. During 2014, did you operate as a sole practitioner? If you were the only fee earner in your organisation in 2014, please select "Yes", and you will be taken to the next section. If there were other fee earners in your organisation in 2014, please select "No", and you will be asked to complete a series of questions about employees.

Answer Options	Response Percent	Response Count
Yes	33.3%	71
No	66.7%	142
<i>answered question</i>		213

20. During 2014, how many full time equivalent employees (authorized as Licensed Conveyancers) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Answer Options	Response Average	Response Total	Response Count
Conveyancing Only	1.38	199	144
Probate Only	.08	11	144
Mixed Workload	.12	17	144
<i>answered question</i>			144

21. During 2014, how many full time equivalent employees (authorized as Barristers) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Answer Options	Response Average	Response Total	Response Count
Conveyancing Only	.06	8	144
Probate Only	.01	2	144
Mixed Workload	.01	2	144
<i>answered question</i>			144

22. During 2014, how many full time equivalent employees (authorised as Solicitors) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Answer Options	Response Average	Response Total	Response Count
Conveyancing Only	1.34	193	144
Probate Only	.09	13	144
Mixed Workload	.11	16	144
<i>answered question</i>			144

23. During 2014, how many full time equivalent employees (authorised as CFILEx) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Answer Options	Response Average	Response Total	Response Count
Conveyancing Only	.57	82	144
Probate Only	.03	4	144
Mixed Workload	.04	6	144
<i>answered question</i>			144

24. During 2014, how many full time equivalent employees (other authorised persons) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Answer Options	Response Average	Response Total	Response Count
Conveyancing Only	.32	46	144
Probate Only	.03	5	144
Mixed Workload	.06	8	144
<i>answered question</i>			144

25. During 2014, how many full time equivalent employees (non-authorized persons, excluding students or trainees) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Answer Options	Response Average	Response Total	Response Count
Conveyancing Only	12.60	1,815	144
Probate Only	.51	74	144
Mixed Workload	.46	66	144
<i>answered question</i>			144

26. During 2014, how many full time equivalent employees (students or trainees) did your organisation employ, and in which areas did they work? (Rounding up to the nearest whole number, please enter the number of full time equivalent staff that were employed in this role, and by entering your responses in different rows indicate whether these staff worked exclusively on conveyancing, or on probate, or on a mix of the two. If you had no relevant staff of this kind, enter 0).

Answer Options	Response Average	Response Total	Response Count
Conveyancing Only	1.86	268	144
Probate Only	.06	9	144
Mixed Workload	.13	18	144
<i>answered question</i>			144

27. During 2014, did your organisation employ any non-authorized persons to carry out reserved legal activities under the supervision of a Licensed Conveyancer or other appropriately regulated authorised person? If your organisation used non-authorized persons to carry out reserved activities, please select "Yes", and you will be asked to complete a series of further questions about your supervision arrangements. If all reserved activities were carried out by appropriately authorised persons, please select "No", and you will be taken to the next section.

Answer Options	Response Percent	Response Count
Yes	23.6%	34
No	76.4%	110
<i>answered question</i>		144

29. Thinking about the non-authorized persons your organisation employed to carry out reserved legal activities in 2014, how much prior experience did they have of working in the relevant legal field (conveyancing or probate)?(Your best estimates will suffice. Responses must sum to 100).

Answer Options	Response Average	Response Total	Response Count
Percentage of non-authorized persons with less than 3 years experience (%)	26.67	800	30
Percentage of non-authorized persons with between 3 and 10 years experience (%)	26.61	825	31
Percentage of non-authorized persons with 10 or more years experience (%)	49.17	1,475	30
<i>answered question</i>			31

31. During 2014, how often were properly regulated supervisors available to interact with the non-regulated employees who were carrying out reserved legal activities? (Select the option that mostly closely resembles the situation that existed within your organisation).

Answer Options	Response Percent	Response Count
Constantly	84.8%	28
At least once a day	6.1%	2
Two to four times a week	0.0%	0
Once a week	6.1%	2
Once a fortnight	0.0%	0
Once a month	0.0%	0
Less than once a month	0.0%	0
Other (please specify)	3.0%	1
<i>answered question</i>		33

32. Regardless of the circumstances in your own organisation, ideally how often should properly regulated supervisors be available to interact with non-regulated employees who were carrying out reserved legal activities?(Select the option that best reflects your ideal).

Answer Options	Response Percent	Response Count
Constantly	75.0%	24
At least once a day	15.6%	5
Two to four times a week	6.3%	2
Once a week	3.1%	1
Once a fortnight	0.0%	0
Once a month	0.0%	0
Less than once a month	0.0%	0
Never, only authorized persons should be carrying out these kinds of activities	0.0%	0
Never, these activities should not be reserved	0.0%	0
Other (please specify)	0.0%	0
<i>answered question</i>		32

33. During 2014, in relation to these non-regulated employees, where were the properly authorised supervisors most often located? (Select the option that most closely resembles the situation that existed within your organisation).

Answer Options	Response Percent	Response Count
On site	100.0%	33
Off-site, typically visiting in person	0.0%	0
Off-site, typically using information technology	0.0%	0
Off-site, typically using traditional mail	0.0%	0
Other (please specify)	0.0%	0
<i>answered question</i>		33

34. Regardless of the situation in your own organisation, in relation to non-regulated employees, where should their properly authorised supervisors ideally be located? (Select the option that most closely resembles your ideal).

Answer Options	Response Percent	Response Count
On site	93.8%	30
Off-site, typically visiting in person	0.0%	0
Off-site, typically using information technology	3.1%	1
Off-site, typically using traditional mail	0.0%	0
Never, only authorised persons should be carrying out these kinds of activities	0.0%	0
Never, these activities should not be reserved	0.0%	0
Other (please specify)	3.1%	1
<i>answered question</i>		32

35. During 2014, how intensive was the supervision that the authorised persons provided to the non-regulated employees who were carrying out reserved legal activities? (Select the option that most closely resembles the situation that existed within your organisation).

Answer Options	Response Percent	Response Count
Every file was examined in detail	18.8%	6
Every file was checked	18.8%	6
Files were routinely checked on a basis of risk	34.4%	11
Files were routinely checked on a random basis	15.6%	5
Files were sometimes checked on a basis of risk	0.0%	0
Files were sometimes checked on a random basis	0.0%	0
Files were rarely checked on a basis of risk	0.0%	0
Files were rarely checked on a random basis	0.0%	0
Other (please specify)	12.5%	4
<i>answered question</i>		32

36. Regardless of the situation in your own organisation, ideally how intensively should authorised persons supervise the work of non-regulated employees carrying out reserved legal activities? (Select the option that most closely resembles your ideal).

Answer Options	Response Percent	Response Count
Every file should be examined in detail	21.9%	7
Every file should be checked	21.9%	7
Files should be routinely checked on a basis of risk	31.3%	10
Files should be routinely checked on a random basis	18.8%	6
Files should be checked sometimes on a basis of risk	3.1%	1
Files should be checked sometimes on a random basis	0.0%	0
Files should only rarely be checked on a basis of risk	0.0%	0
Files should only rarely be checked on a random basis	0.0%	0
N/A, this work should not be reserved	0.0%	0
N/A, only authorised persons should be carrying out this kind of work	0.0%	0
Other (please specify)	3.1%	1
<i>answered question</i>		32

37. Since 1 January 2014, have any of your staff (owners or employees) been subject to:(a) an internal disciplinary process for serious misconduct that could result in suspension or dismissal? (b) an investigation by their profession's regulatory body? (c) an investigation by an external organisation, such as the police? If the answer to any of these questions is yes, please select "Yes". You will then be invited to complete a separate set of answers for each individual who has been subject to a disciplinary process, investigation by a professional regulator, or investigation by an external organisation. If no staff have been subject to any disciplinary process or investigations since 1 January 2014, select "No", and you will proceed to the next section.

Answer Options	Response Percent	Response Count
Yes	2.1%	3
No	97.9%	140
<i>answered question</i>		143

90. Does your organisation have a formal succession plan?

Answer Options	Response Percent	Response Count
Yes	37.9%	53
No	62.1%	87
<i>answered question</i>		140
<i>skipped question</i>		101

91. Does your organisation have a RECRUITMENT policy that promotes equality of opportunity by encouraging applications from a broad cross-section of society, and where all else is equal, perhaps even favours those from a disadvantaged background?

Answer Options	Response Percent	Response Count
Don't know	23.6%	33
No	27.9%	39
Yes	48.6%	68
<i>answered question</i>		140
<i>skipped question</i>		101

92. Does your organisation have a SELECTION policy that promotes equality of opportunity by hiring applicants from a broad cross-section of society, and where all else is equal, perhaps even favours those from a disadvantaged background?

Answer Options	Response Percent	Response Count
Don't know	20.7%	29
No	33.6%	47
Yes	45.7%	64
<i>answered question</i>		140

93. Does your organisation have a PROGRESSION policy that promotes equality of opportunity by encouraging the promotion of employees from a broad cross-section of society, and where all else is equal, perhaps even favours those from a disadvantaged background?

Answer Options	Response Percent	Response Count
Don't know	19.3%	27
No	35.0%	49
Yes	45.7%	64
<i>answered question</i>		140

94. In 2013 the CLC profiled the diversity of its regulated community, and identified three possible areas of concern:(1) The workforce comprises mostly younger or older people, and the lack of a proportionate pool of skilled and experienced middle-aged workers raises questions about sustainability;(2) Women make up 69% of the workforce, but men are more than twice as likely to fill management positions, which raises questions about gender equality; and(3) A large minority of the workforce also have caring responsibilities outside of work, but disproportionately few of them go on to obtain managerial roles, which raises questions about fairness and flexibility. With the benefit of hindsight, how would you rate your organisation's performance with regard to each of these three criteria during 2014?

Answer Options	Should have done a lot better	Should have done a little better	Adequate	Good	Very good	Excellent	Response Count
Ensuring a stable supply of appropriately skilled and experienced workers of all ages	2	2	30	40	45	22	141
Ensuring equal opportunities for workers at all stages in their careers, regardless of gender	1	1	26	29	52	32	141
Ensuring working practices do not disproportionately disadvantage workers with caring responsibilities	1	0	29	30	48	33	141
Please use this space to make any comments or clarifications:							25
<i>answered question</i>							141

103. There are three main areas of concern arising from consumers' complaints to the Legal Ombudsman:(1) delay;(2) failure to communicate; and (3) failure to follow instructions. With the benefit of hindsight, how would you rate your organisation's performance with regard to each of these three criteria during 2014?

Answer Options	Should have done a lot better	Should have done a little better	Adequate	Good	Very good	Excellent	Response Count
Delay	1	15	18	44	71	43	192
Failure to communicate	2	11	16	43	76	43	191
Failure to follow instructions	1	5	8	40	75	62	191
Please use this space to make any comments or clarifications:							50
<i>answered question</i>							192

105. Does your organisation carry out any client satisfaction surveys?

Answer Options	Response Percent	Response Count
Yes	32.2%	67
No	67.8%	141
<i>answered question</i>		208

114. Did your organisation act for both sides in a transaction, at any time in 2014?

Answer Options	Response Percent	Response Count
Yes	64.4%	134
No	35.6%	74
<i>answered question</i>		208

116. During 2014, did your organisation take any of the following steps to ensure compliance with the Code of Conduct's outcomes? (Select all that apply)

Answer Options	Response Percent	Response Count
N/A, No steps were taken to ensure compliance with the Code of Conduct' outcomes	9.6%	20
Performance against each outcome is regularly assessed	36.5%	76
Senior managers/owners identify and review risks of any outcome not being achieved	61.1%	127
Management information systems provide relevant compliance data	32.2%	67
Planned checks/audits undertaken on operational practices	40.4%	84
Other	9.6%	20
<i>answered question</i>		208

117. During 2014, did your organisation take any of the following steps to ensure that your accounting practices complied with the CLC's Accounts Code provisions? (Select all that apply)

Answer Options	Response Percent	Response Count
N/A, No steps were taken to ensure that accounting practices complied with the CLC's Accounts Code provisions	5.3%	11
Exception reporting to managers	17.3%	36
Internal audit programme	39.4%	82
Routine planned checks by accounting staff/managers/owners	72.6%	151
Regular management information reports	51.9%	108
Other	11.5%	24
<i>answered question</i>		208