CLC Data Analysis

Graphics showing key themes & trends identified through the 2013 Annual Regulatory Return and Thematic Reviews

Background

In 2013 the CLC's Annual Regulatory Return collected information from practices about:

- Training methods to secure compliance with the Code of Conduct
- Client access to legal services
- Mix of work types and numbers of types of transaction
- Perceptions of the service offered by the CLC

The CLC also undertook Thematic Reviews on:

- Acting for both sides in a transaction and managing conflict
- Complaints handling

The findings of the Annual Regulatory Return and the two Thematic Reviews are published here. The information is now being used to inform:

- Preparation for a review of the Code of Conduct beginning in 2015
- Evolution of the CLC's Corporate and Regulatory Risk Registers

Summary – Annual Regulatory Review

Training
Larger firms had the broadest range of training channels and the most sophisticated effectiveness monitoring checks

Access
Firms of all sizes over email, telephone and face to face access. Larger firms have adopted online access to a much greater degree than others.

CLC Service
There are good levels of satisfaction with the accessibility, content and contact level of the CLC services.

Summary – Thematic Reviews

Complaints handling
The larger firms receive the greatest volume of complaints (in line with their greater volume of transactions) but are proportionately better at achieving in-house resolution than firms that receive fewer complaints overall.

Acting for both sides
Only a small proportion of respondents act for both sides in a transaction and all report clear separation of the teams acting on each side.

Banding

| Income	Band	Number of Respondents
£0 – 100,000	'Low'	58
£100,001 – £500,000	'Medium'	116
£500,001 – £3,000,000	'High'	19
£3,000,000 +	'V.High'	6
No income information available …	'Unknown'	16

The vast majority of survey respondents fell into the 'Medium' category. Due to the disparity in banding, all graphs that involve a banding breakdown take an average to allow for comparison between bands. Respondents falling into the 'Unknown' band have been excluded from the analysis.
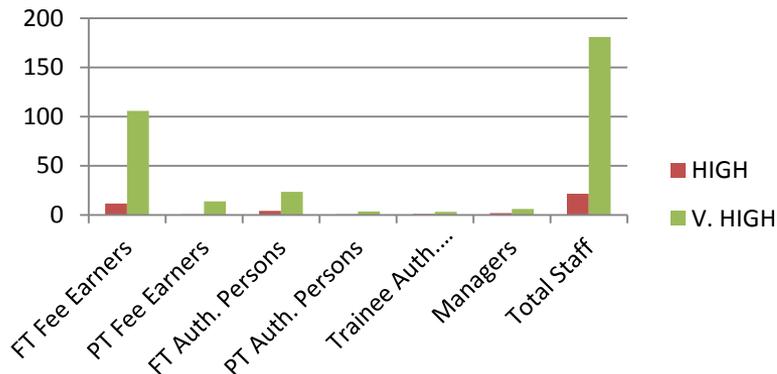
Average Staff No's

Staff Type Comparison - Low to Med
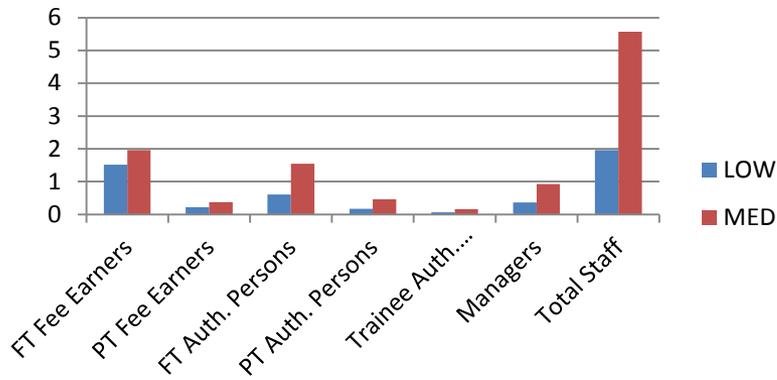
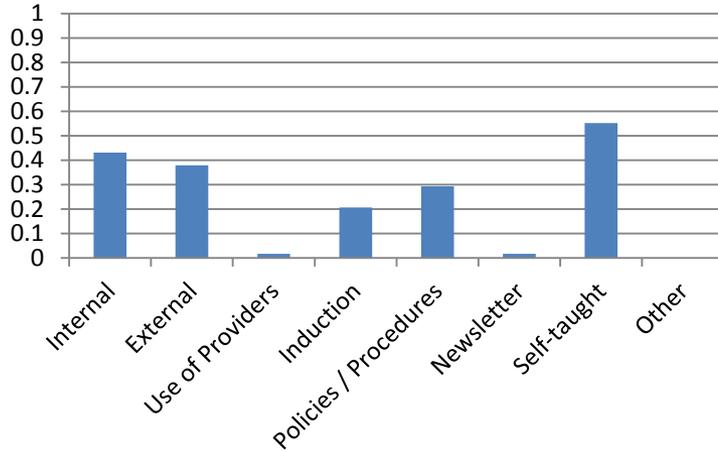### Staff Type Comparison - Med to High
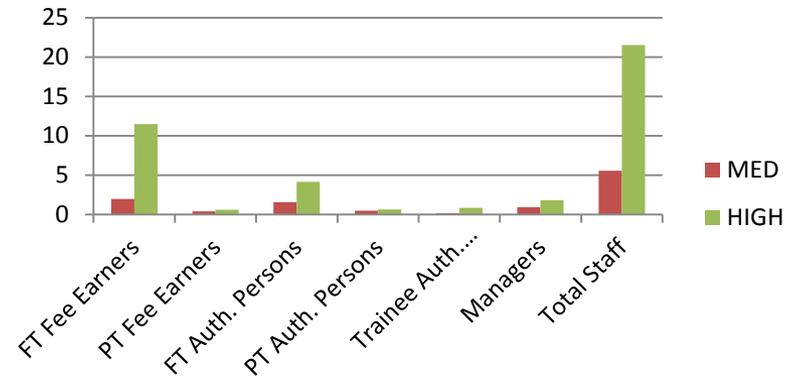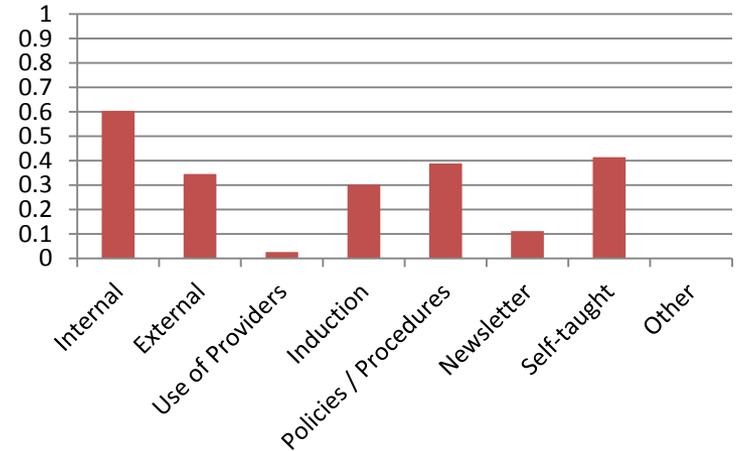

Staff Type Comparison - High to V. High

The number of total staff for a 'V.High' organisation dwarf that of a 'Low' organisation. The distribution of staff remains fairly similar across all bands, with the majority of staff falling into the 'FT Fee Earners' bracket.
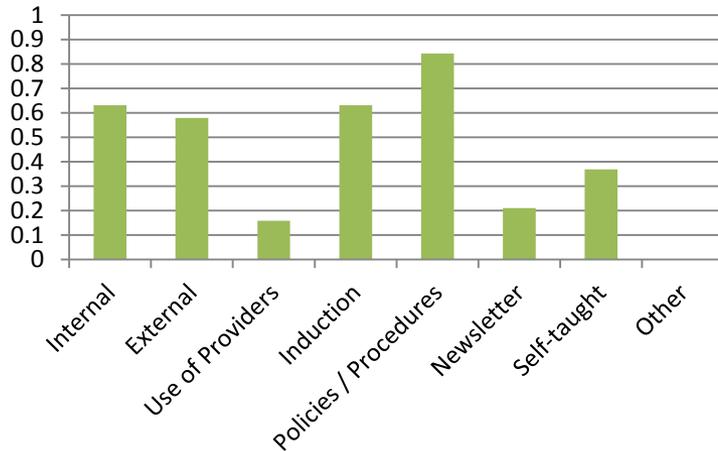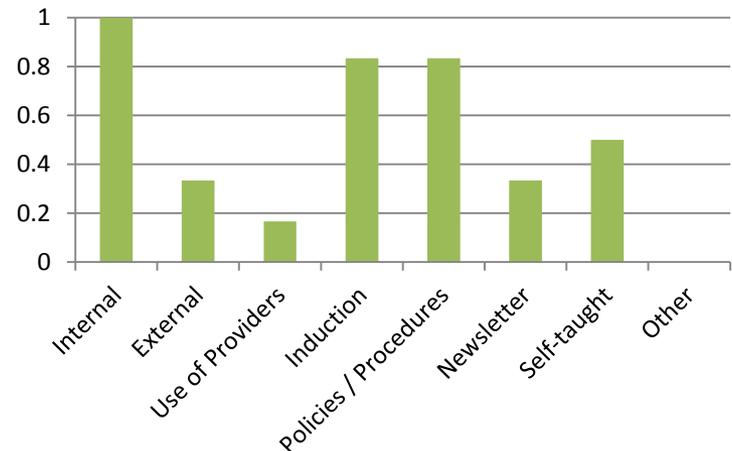
CoC Awareness Training

Training Methods (LOW)
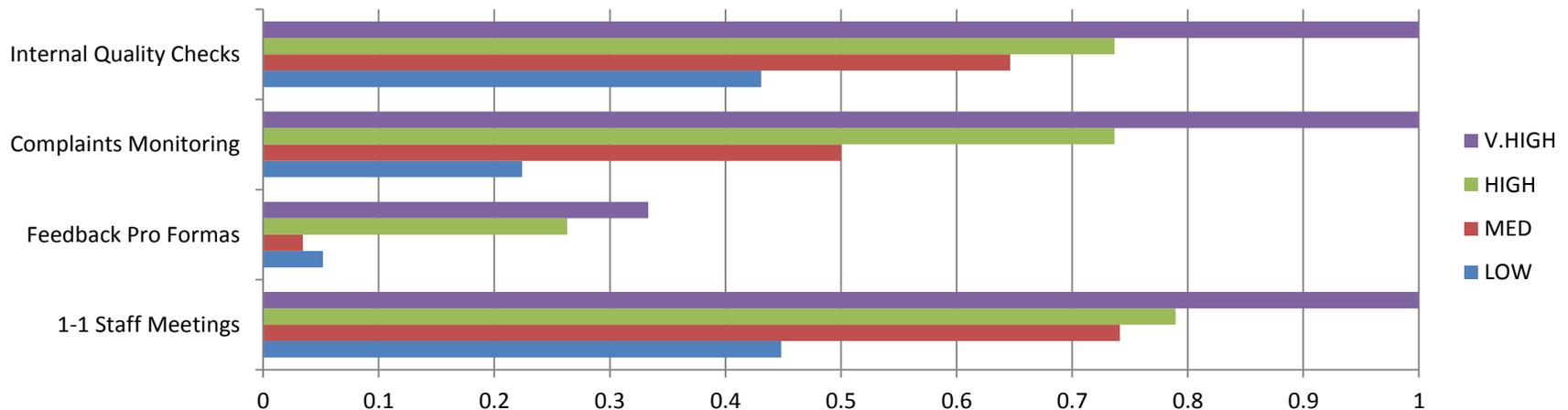

Training Methods (MED)

Training Methods (HIGH)

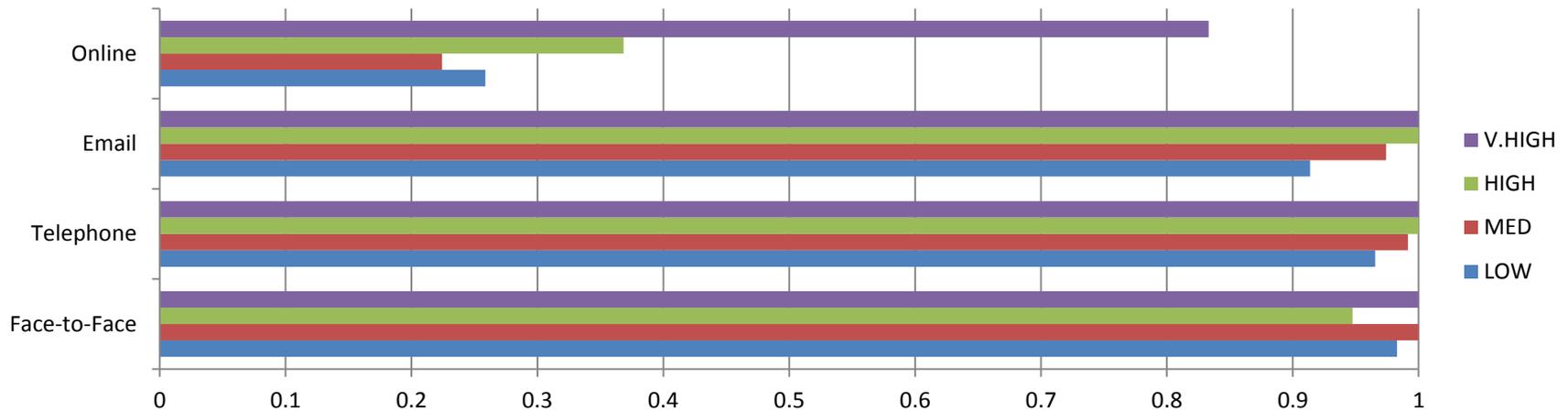## Training Methods (V. HIGH)

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CoC Awareness Training

Training Effectiveness Monitoring

As expected; the larger, more mature organisations employ more effectiveness monitoring techniques, though 'Feedback Pro Formas' are under-utilised across all bands.
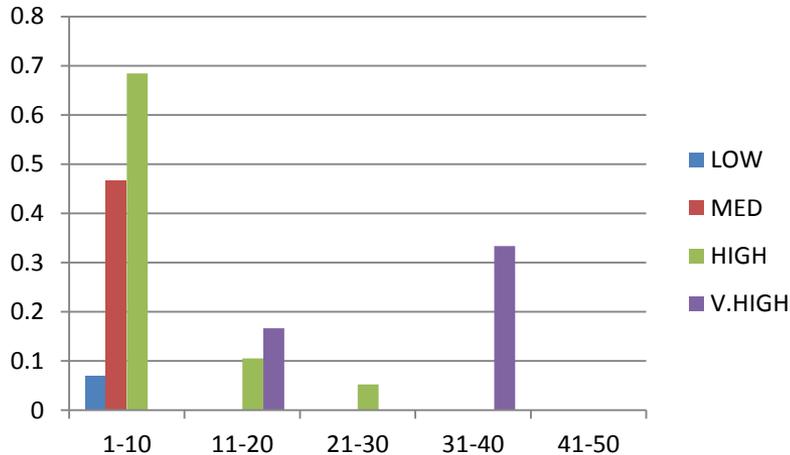
Dealing with Clients
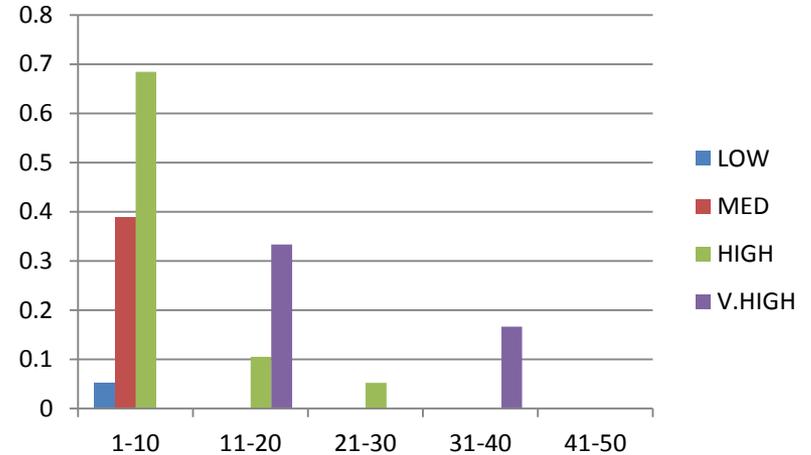
Types of Access Offered

Only the very large organisations have an effective web-presence, with the majority of 'High' and below respondents not taking advantage of this type of access.
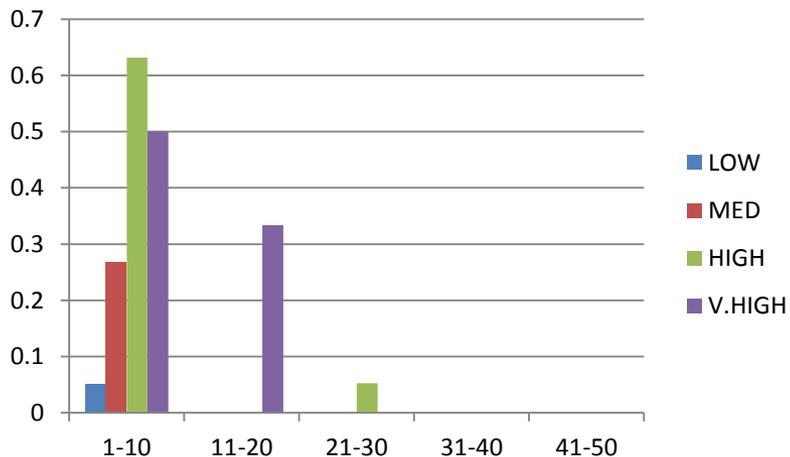
Complaints Handling

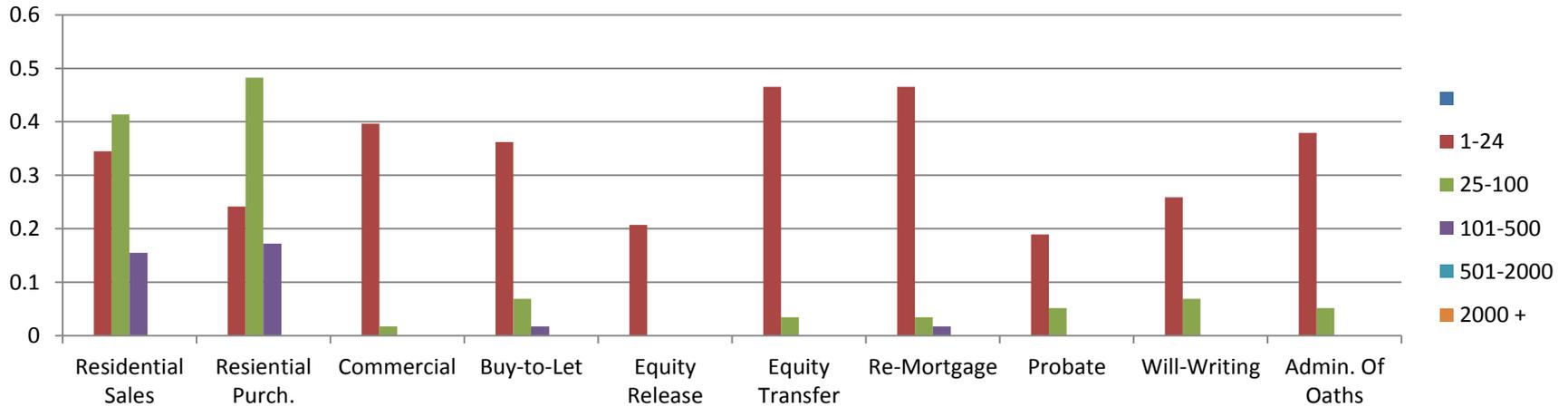### Number of Complaints

In-House Resolutions
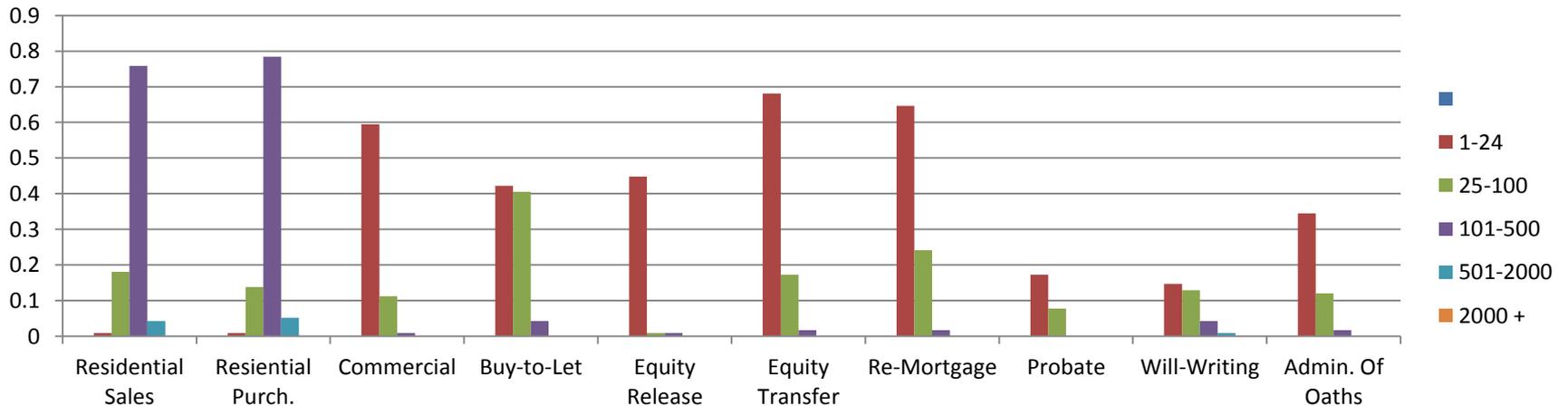

Ombudsman Referrals

Organisations falling into the 'V.High' band have a much larger volume of complaints then those in the nearest band, though appear slightly better at achieving in-house resolutions (and reducing referrals) than expected (due to volume).

Transactions

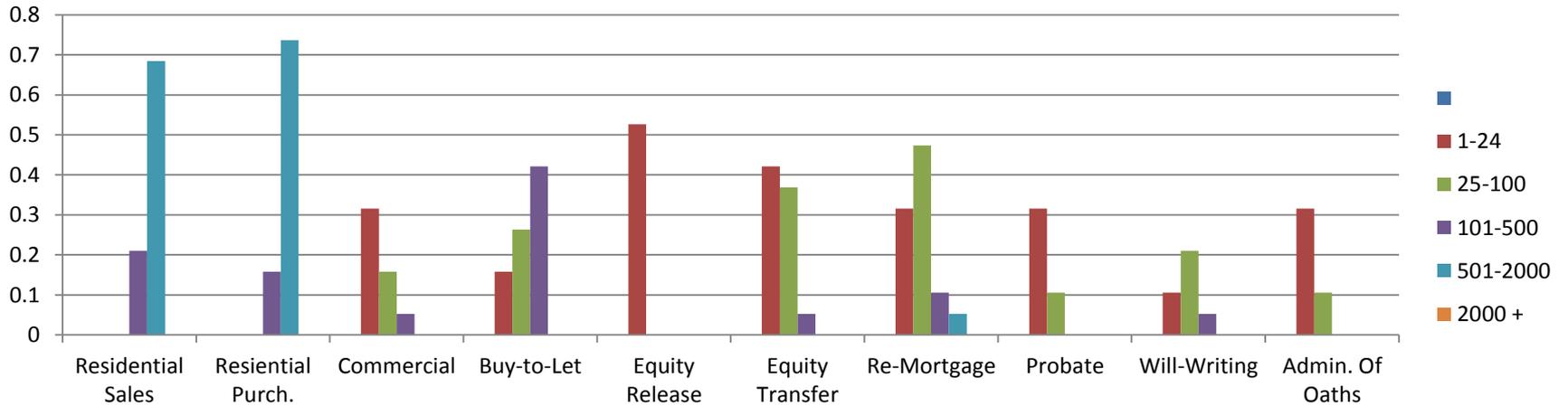**(Avg.) Type and No's of Client Transactions (LOW)**

(Avg.) Type and No's of Client Transactions (MED)

Transactions

(Avg.) Type and No's of Client Transactions (HIGH)

(Avg.) Type and No's of Client Transactions (V.HIGH)
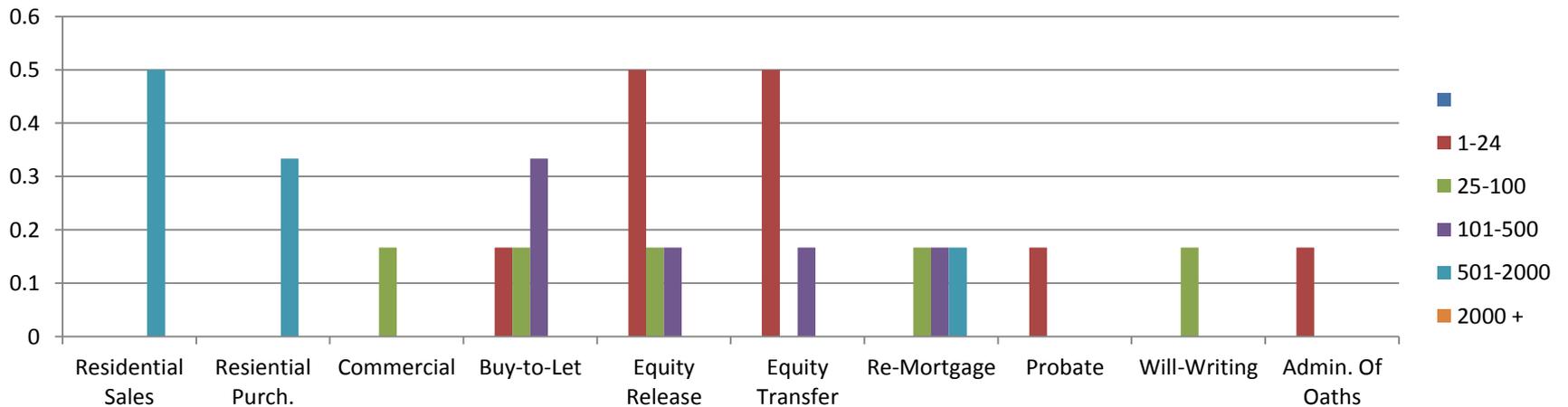
Transactions

The majority of cases all fall into 'Residential Sales' and 'Residential Purchases' for all bands of respondents.

The 'Buy-to-Let', 'Equity Release', 'Equity Transfer' and 'Re-Mortgage' areas seem to be the focus for growing organisations, while the remaining areas of 'Commercial', 'Probate', 'Will Writing' and 'Admin. of Oaths' seem to be largely ignored.

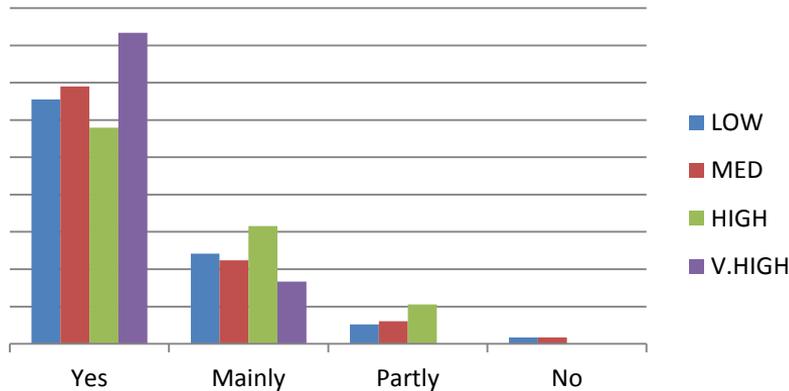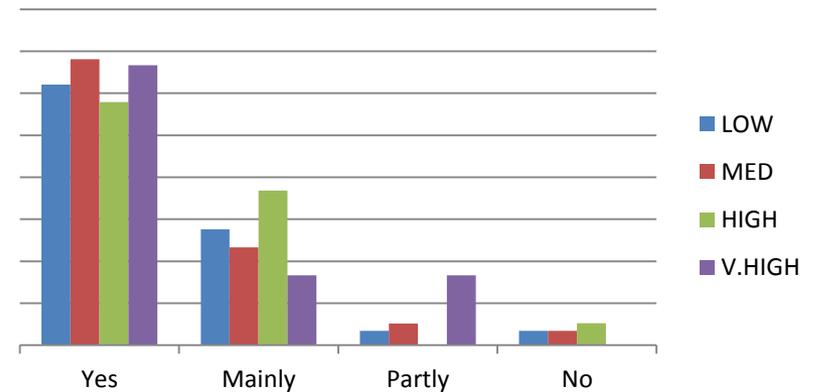# Feedback on CLC Services

Are CLC Services Approriately Accessible?

Legend: LOW, MED, HIGH, V.HIGH

Categories: Yes, Mainly, Partly, No

Do CLC Employ the Right Level of Contact?

Legend: LOW, MED, HIGH, V.HIGH

Categories: Yes, Mainly, Partly, No

Do CLC Offer the Right Amount of Techincal Expertise?

Legend: LOW, MED, HIGH, V.HIGH

Categories: Yes, Mainly, Partly, No
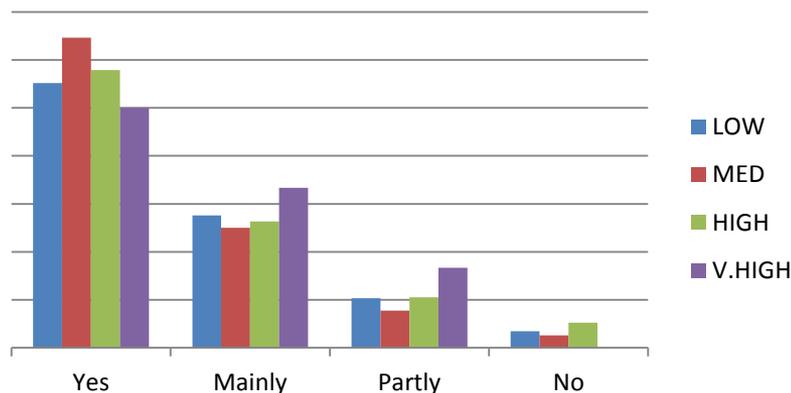
While larger organisations appear happier by the accessibility of CLC services, the level of contact and technical expertise offered is slightly less satisfactory.

Complaints Process

Methods of Complaints Assurance

Chart showing percentage (0%–100%) with categories: Monthly / Quarterly…, Dedicated Handling Role, Use Of Independent…, Use Of Independent…, Performance Against…, Other. Legend: Yes (red), None (blue).
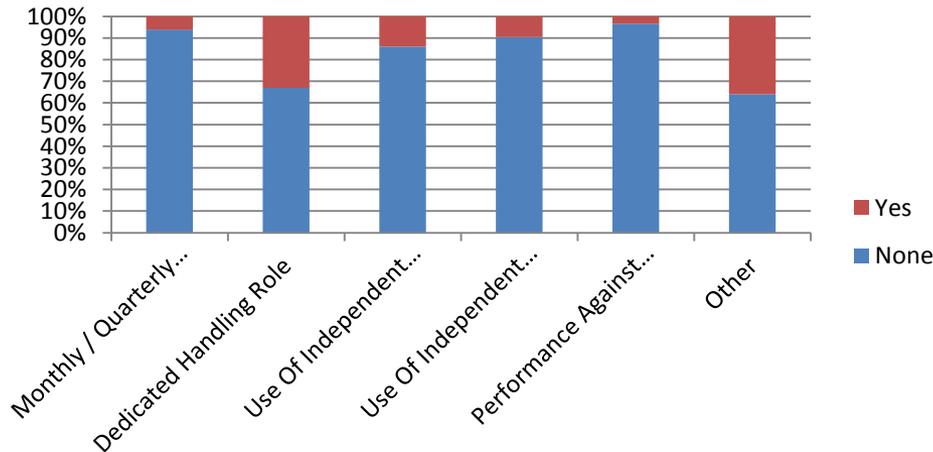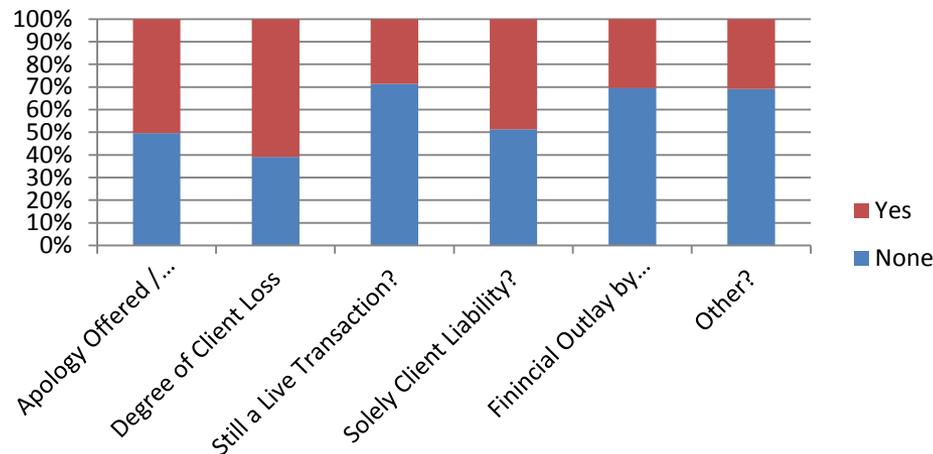
The majority of respondents do not employ many forms of complaints assurance, with a 'Dedicated Handling Role' or a bespoke type being the favourite methodology of the few that do.

Criteria Used

Chart showing percentage (0%–100%) with categories: Apology Offered /…, Degree of Client Loss, Still a Live Transaction?, Solely Client Liability?, Finincial Outlay by…, Other?. Legend: Yes (red), None (blue).

A fairly broad range of criteria are used to ensure the appropriateness of a remedy to a complaint, with the 'Degree of Client Loss' being prevalent.

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Does your firm act for both buyer and seller in any transaction?

Of 218 practices, half provided no response to this question. The majority that did answer reported that they do not act for both buyer and seller. Of the 5% of practices that reported that they do act for both sides, all reported that they were very clear about the separation of those acting for the buyer and seller and the chain of command if any issues were to arise.

5%

50%

45%

■ Yes

■ No

■ No response