



Solicitors
Regulation
Authority

SRA Summary of Performance Measures and Statistics

April 2008

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Note: Our Equality & Diversity reporting is currently under revision.

Headlines for April 2008

- **Solicitors Disciplinary Tribunal** orders show a slight increase year on year. Numbers of reprimands and suspensions issued have seen the largest growth, while the proportion of those being struck off has conversely decreased year on year. ▶ *see page 4*
- The average time taken to issue **Tribunal Proceedings** remained at 8 months during April. ▶ *see page 5*
- The **Forensic Investigations** Unit produced a high number of adverse reports this month, 35, against the average for the last 12 months of 22. This represents 69% of all investigations closed over the last 12 months. ▶ *see page 6*
- The **Practice Standards Unit** has developed a new systematic grading system for its monitoring visits. Over 88% of files closed in the last 12 months showed an improvement in the firm, or deemed no further action to be necessary. ▶ *see page 7*
- **Regulatory Investigations'** decisions to refer to the SDT have risen 13% year on year, with 15% of their investigation files closed in the last 12 month concluding with a referral. ▶ *see page 8*
- In the **Conduct Investigation Unit** there has been a 21% increase in the number of files where allegations were formally upheld or referred to the SDT upon closure in the last 12 months as compared with the previous 12 months. ▶ *see page 9*
- The **Compensation Fund** have seen a significant fall in the number of new claims received year on year, but the average value has conversely increased dramatically. The value of grants made as compared with the amounts claimed has decreased year on year. ▶ *see page 10*
- There were 2 **Interventions** effected in April, both on grounds of suspected dishonesty. Total numbers have risen 26% year on year, with 59 interventions effected in the last 12 months, back to a level similar to those seen during 2005 and 2006. The proportion of those made on the grounds of suspected dishonesty has increased, as has the number involving 2-4 partners. ▶ *see page 11*
- The **Information Directorate** continues to see high levels of applications under the Qualified Lawyers Transfer Regulations. Numbers of calls received by the Contact Centre have increased, as has the service level achieved, with 81% of calls being answered within 60 seconds. ▶ *see page 12*
- The **Ethics Guidance Service** has improved performance against both of its new service level targets this month. ▶ *see page 13*

Legal Solicitors Disciplinary Tribunal Decisions

The **Solicitors Disciplinary Tribunal (SDT)** is the independent Tribunal that adjudicates upon alleged breaches of the rules of professional conduct for solicitors. The SDT has the power to strike a solicitor from the roll, suspend a solicitor from practising and to apply fines and reprimands.

Orders made by the SDT are recorded by the SRA when they come into effect, which in most cases is immediately, but in a few cases there is a time lapse before the order comes into effect.

It should be noted that cases referred to the SDT are often a combination of matters, frequently originating in different Units, brought together into one application to the Tribunal by the Disciplinary Team.

| SDT Orders | 12 months to Apr 07 | 12 months to Apr 08 | Variance | Monthly Average to Apr 08 |
|--------------|---------------------|---------------------|-------------|---------------------------|
| Fined | 88 | 107 | +22% | 8.9 |
| Struck Off | 70 | 63 | -10% | 5.3 |
| Suspended | 36 | 54 | +50% | 4.5 |
| No Order | 9 | 8 | -11% | 0.7 |
| Reprimand | 20 | 34 | +70% | 2.8 |
| Other | 37 | 27 | -27% | 2.3 |
| TOTAL | 260 | 293 | +13% | 24.4 |

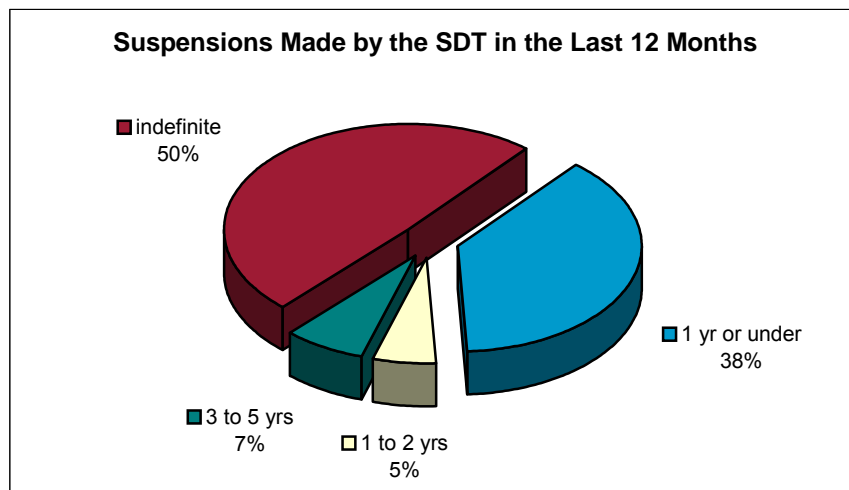
This month the SDT made 23 orders on Tribunal Proceedings brought by the SRA against solicitors.

The table above gives a breakdown of orders made in the last 24 months, and now shows reprimands as a separate category, where they had been included under 'other' in previous reports.

The order made most commonly over the last 12 months is a fine, with an average of 8.9 each month since May 2007.

There has been a large increase in the number of reprimands issued by the SDT on SRA matters year on year - 34 in the last 12 months as compared with 20 in the 12 months previous.

Suspensions have also increased significantly year on year, with half of those made in the last 12 months being indefinite suspensions. Where the order was made for just a fixed period of suspension, this would most commonly be for 1 year or less:



Orders included under the 'other' category include Section 43 orders, Section 47.2(g) orders and orders to pay costs only.

Section 43 orders relate to non-solicitors. They are used to prevent a solicitor from employing a Person subject to the order without first obtaining the written permission of the office. Numbers of Section 43 orders have remained consistent year on year.

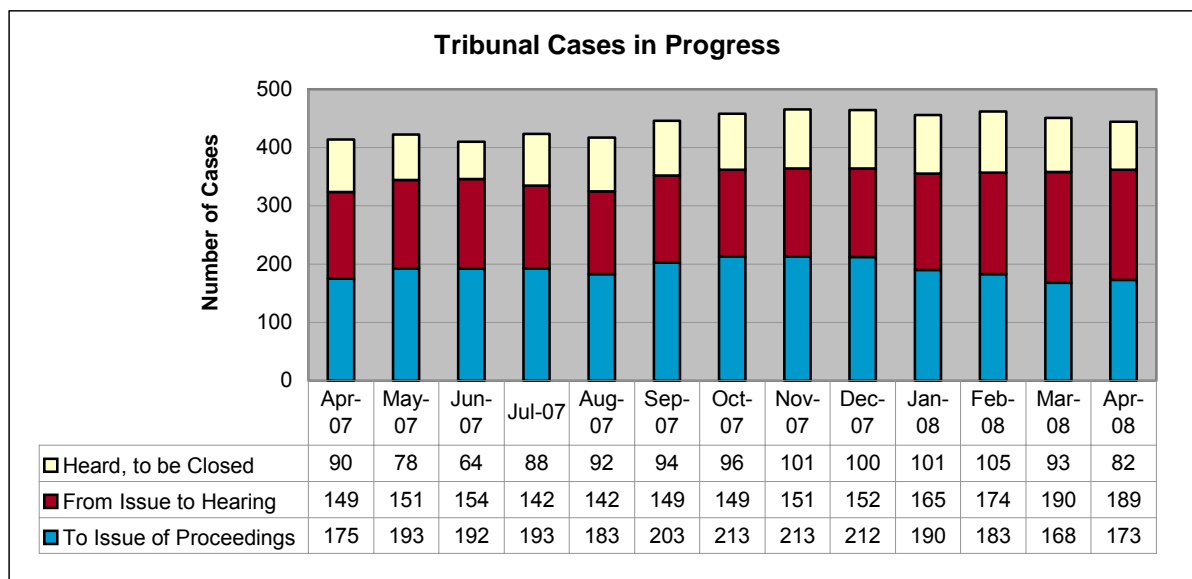
Section 47.2(g) allows for a condition to be placed upon a former solicitor who has been removed from the roll so that they may not be restored to the roll except by means of an order of the Tribunal.

Legal Prosecutions

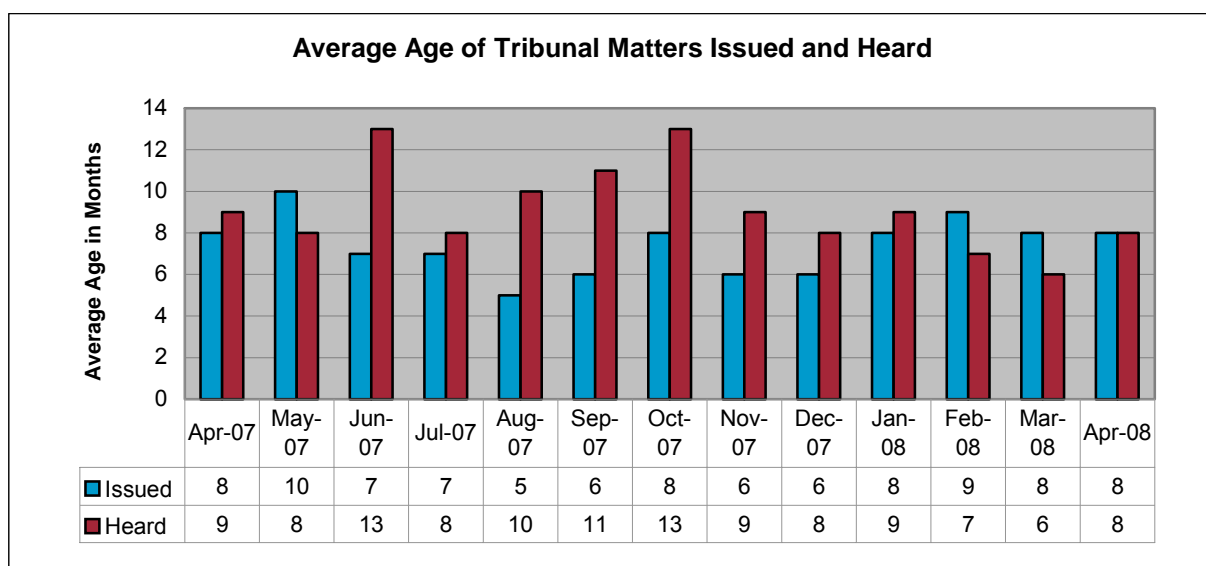
The **Disciplinary Proceedings Team** is responsible for the prosecution of solicitors before the Solicitors Disciplinary Tribunal (SDT) and the conduct of litigation in respect of the exercise of the SRA's regulatory powers. The recovery of the costs associated with these activities is handled by the Client Protection Directorate.

| Tribunal Cases | 12 months to Apr 07 | 12 months to Apr 08 | Variance | Monthly Average |
|----------------|---------------------|---------------------|----------|-----------------|
| New Cases | 308 | 339 | +10% | 28 |
| Closed Cases | 295 | 313 | +6% | 26 |

The following chart shows the number of Tribunal cases in progress as at each month end.



In addition to these 444 Tribunal proceedings, there are also 24 Applications by Solicitors / Clerks (ASC matters) in progress where the SRA is the respondent in appeals being made directly to the Tribunal about previous Section 43 orders or a decision to remove an individual from the roll of solicitors.



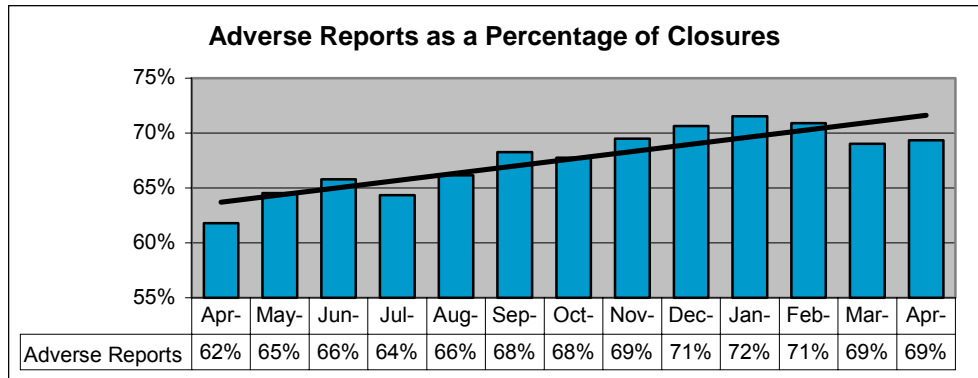
A new Tribunal matter is created when the decision is made to refer the matter to the SDT. The Disciplinary Team's target is to issue proceedings within the next 6 months. The SDT, in turn, aims to hear matters within 6 months of issue. This chart shows the average age of Tribunal matters issued by the Disciplinary team in a given month, along side the average time taken from issue to the hearing date at the Tribunal.

Inspection & Investigation Forensic Investigations

Forensic Investigations (FI) carries out targeted investigations of firms following the risk assessment of internal referrals from a variety of departments. FI Investigators visit firms and adduce evidence of the misuse of client money, serious misconduct or malpractice, dishonesty, fraud, money laundering etc.

At the conclusion of an investigation, an on-site certificate is issued to the firm where the identified breaches or conduct are not material or minor corrective action is required following an investigation. Alternatively, an adverse report will be prepared where there is evidence of serious breaches of the Rules, of professional obligations, misconduct or dishonesty which may require a regulatory sanction, disciplinary proceedings or intervention. The closed FI matter will then be referred to other departments within the SRA responsible for enforcement actions.

There has been an overall increasing trend in the proportion of adverse findings made by FI, as shown in the inset graph. The graph shows percentage figures covering the 12 months prior to each month shown, so the low levels against Apr 07 relate to files closed during 2007 in the main.

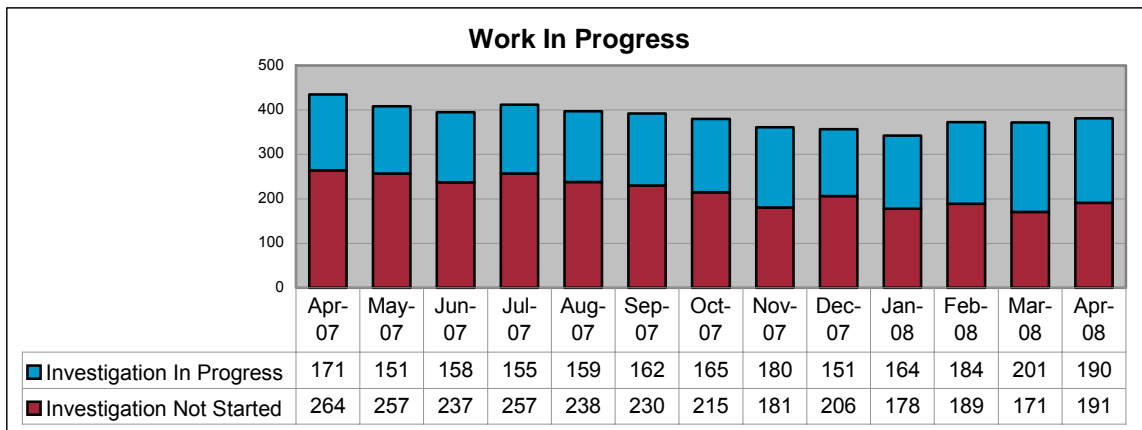


There has been a slight reduction over recent months due to a decline in adverse findings over the first 3 months of this year.

The overall rising trend has been influenced by several factors, including the targeting of specific areas of risk. Considerable resource has been committed in respect of Miners' cases, mortgage fraud and the threat posed by money laundering. Across the organisation, greater experience and understanding of risk also leads to better, more focussed intelligence, which is another key factor impacting on the proportion of adverse findings.

| Forensic Investigations | 12 months to Apr 07 | 12 months to Apr 08 | Variance | Monthly Average to Apr 08 |
|---------------------------------|---------------------|---------------------|----------|---------------------------|
| New Investigation Files Created | 471 | 412 | -13% | 34 |
| Investigation Concluded | 432 | 388 | -10% | 32 |
| Rescinded / Other | 45 | 78 | +73% | 6.5 |

The table above shows throughput figures for the unit. The numbers of new investigations authorised (indicated by the creation of a new file) have fallen year on year. The closure figures are split to show those investigations that reached conclusion against those that were rescinded where no investigation took place (for example if the firm no longer poses such a risk, or has closed down). The reduction in closures year on year is a result of reduced investigator FTE and subsequent resource



The work in progress of FI consists of all authorised investigations. The investigation may not commence immediately, so a proportion of their open matters are those still awaiting a visit.

Inspection & Investigation Practice Standards Unit

The role of the **Practice Standards Unit (PSU)** is to improve standards of practice in the profession through the promotion of client care and practice excellence. This is achieved through monitoring visits and an educational programme of client care seminars. Firms are profiled for monitoring visits by a risk assessment process based on information held within the SRA's systems and intelligence from other units. The monitoring visits check compliance by firms with the practice rules and aim to raise standards by obtaining agreement and consensus from firms for improvement following these visits.

| PERFORMANCE MEASURES YTD | To Apr-07 | To Apr-08 | To Apr-08 Target | Variance to Target |
|------------------------------|-----------|-----------|------------------|--------------------|
| Full Risk Profiles Completed | 367 | 367 | 390 | -6% |
| Total Visits Completed | 279 | 445 | 392 | 14% |
| Client Care Seminars | 1 | 9 | 10 | -10% |

Visit Grading System

| Visit Grade | Apr-07 | May-07 | Jun-07 | Jul-07 | Aug-07 | Sep-07 | Oct-07 | Nov-07 | Dec-07 | Jan-08 | Feb-08 | Mar-08 | Overall Grade | Apr-08 |
|----------------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|----------------|--------|
| A | 3 | 7 | 5 | 3 | 9 | 20 | 9 | 16 | 6 | 11 | 16 | 9 | 1 | 1 |
| B | 30 | 27 | 51 | 60 | 41 | 68 | 68 | 54 | 29 | 52 | 69 | 54 | 2 | 3 |
| C | 14 | 18 | 19 | 14 | 19 | 26 | 13 | 25 | 10 | 31 | 35 | 20 | 3 | 3 |
| D | 4 | 3 | 1 | 1 | 6 | 4 | 6 | 5 | 4 | 5 | 5 | 1 | 4 | 2 |
| No Grade | 8 | 10 | 3 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 5 | 9 |
| Awaiting Grade | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 10 | 22 | 6 | 3 |
| Total Visits | 59 | 65 | 79 | 78 | 75 | 118 | 96 | 100 | 49 | 99 | 135 | 106 | 7 | 5 |
| % Grade C / D | 35% | 38% | 26% | 19% | 33% | 25% | 20% | 30% | 29% | 36% | 30% | 20% | 8 | 2 |
| | | | | | | | | | | | | | 9 | 0 |
| | | | | | | | | | | | | | Awaiting Grade | 77 |
| | | | | | | | | | | | | | Total Visits | 105 |
| | | | | | | | | | | | | | % Grade 5 - 9 | - |

In April a new grading system has been introduced based on a 1 to 9 scale, 1 being the least serious and 9 being the most serious. The system makes use of the SRA risk classification and aims to be more systematic in its approach.

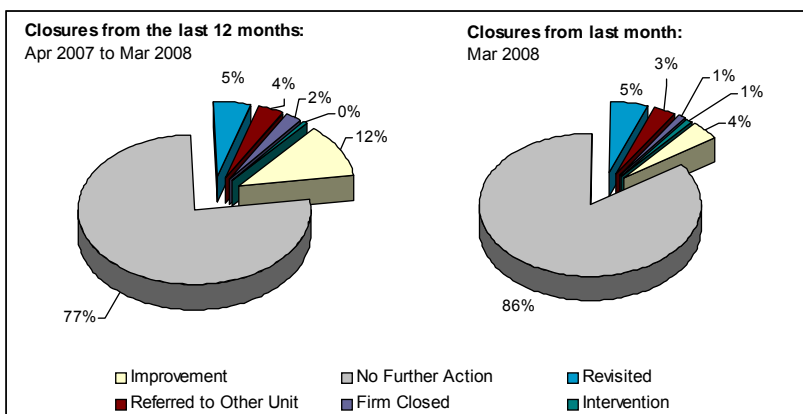
Those visits 'awaiting grade' will be given a grade once the necessary post-visit work is complete, and the grading figures will be amended retrospectively.

Internal Referrals

3.0% of firms were formally referred to another SRA Unit for action during March, as compared with an overall percentage over the 12 months to March of 5.8%.

In addition, 3 intelligence referrals were made (50 in the last 12 months) where information was shared with other departments for future reference.

Final Outcomes



Each visit file is given a final outcome upon closure.

In the last 12 months 88.3% of files have been closed with either Improvement or No Further Action.

Please note that the Post Visit data is given for the previous month to provide a more accurate view. This is due to the process for completing post visit tasks and returning the information to the office.

Regulation Response Regulatory Investigations

Regulatory Investigations (RI) imposes Practising Certificate controls under Section 12 and 13 of the Solicitors Act 1974, deals with applications for approvals by solicitors and unadmitted persons, investigates information about regulatory breaches and deals with FI reports.

| REGULATORY MATTER DECISIONS | 12m to Apr 07 | 12m to Apr 08 | Variance | Monthly Average to Apr 08 |
|---------------------------------------|---------------|---------------|------------|---------------------------|
| PC Conditions | 1866 | 1921 | +3% | 160 |
| Intervention * | 62 | 81 | +31% | 7 |
| Referral for Disciplinary Proceedings | 355 | 402 | +13% | 34 |
| Vest Discretion | 235 | 235 | +0% | 20 |
| No Action | 255 | 205 | -20% | 17 |
| Accountants Reporting Issues | 873 | 786 | -10% | 66 |
| Finding/Warning/Rebuke/Reprimand | 377 | 350 | -7% | 29 |
| Other | 356 | 346 | -3% | 29 |
| Costs Directions | 398 | 346 | -13% | 29 |
| TOTAL | 4379 | 4326 | -1% | 361 |

Notes

Please note that any one firm under investigation may generate multiple decisions. It does not necessarily follow, for example, that each decision to intervene shown above will result in a new intervention.

* Numbers of Intervention decisions shown above have fallen as they now exclude any 'intervention powers arisen' decisions where a firm is notified that we have grounds to intervene, but will not actually do so at that point if the firm can take immediate steps to put right the problems identified. These are now within 'other'.

Outcomes of Regulatory Applications and Investigations

During the last 12 months, RI finalised **2,325** applications and concluded **1,856** investigations.

Applications:

Of those applications, **1265 (54%)** were from individuals required to notify us of their intention to apply for a PC as they are subject to Section 12 of the Solicitors Act 1974. Section 12 gives us discretion with respect to issue of practising certificates in special cases - for example, those who are applying for the first time or after a period of suspension. These notifications are received by the Information Directorate who will deal with any straightforward applications and refer the remainder on to RI.

This equates to an average of **54** applications a month from individuals newly subject to Section 12, plus another **52** each month from those who were already subject to Section 12 when they applied for their current PC and are looking to renew. Any conditions on their current PC may be continued, varied or lifted. These are distributed unevenly throughout the year however, as levels peak around PC renewal time in the Autumn.

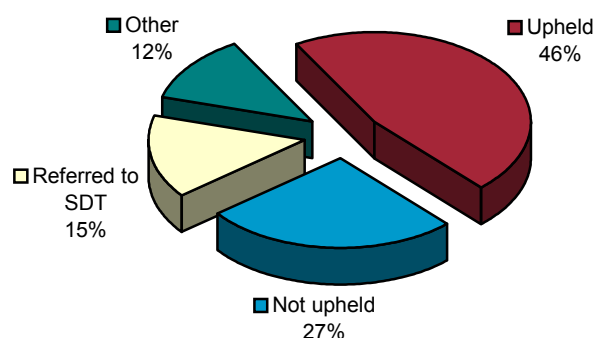
We are seeing an increasing trend in the numbers of other types of regulatory application over the long term, such as applications for approval of employment under Section 41 and 43, and those relating to the delivery of Accountants' reports. **40%** of applications dealt with by RI in the last 12 months fall into this category.

Investigations:

- The allegations under investigation were upheld in **859 (46%)** cases.
- **276 (15%)** resulted in a referral to the SDT.
- **492 (27%)** were not upheld.

During the last 12 months, there has been an overall upward trend in the proportion of investigations where allegations were found to be upheld on closure, with the proportion not upheld or being referred to the SDT conversely decreasing.

Regulatory Investigations closed in the last 12 months showing outcome



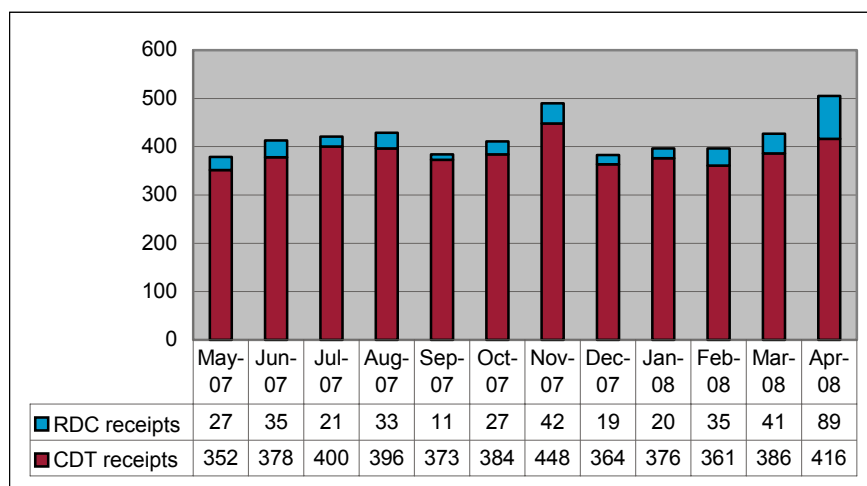
Regulation Response Conduct Investigation Unit

The **Conduct Investigation Unit** (CIU) deals initially with all third party (non-client) complaints of misconduct received by the SRA (CDT matters), as well as referrals of conduct information from the LCS (Redress Conduct matters - RDC). The majority of CIU's workload consists of assessing and closing complaints where there is no issue or evidence of misconduct. CIU deal with a higher volume of excluded / low risk "reports" but refer to Adjudication the more serious, higher risk issues. For historical reasons, the unit operates under LSCC targets. Details of current performance against LSCC targets can be found in Appendix 2 on page 14.

CIU receipts

The graph shows the numbers of new files created over the last year - each file represents a distinct report of alleged misconduct.

RDC files are generated by referrals from LCS. The eligibility of a file for referral is now considered at 3 months, rather than at 6 months. This change caused an influx of receipts in April and is largely the reason for the 117% increase in new RDC matters.



Investigative Outcomes

The table shows the breakdown by outcome of all files closed in the last 12 months and 12 months previous:

| CIU File Outcomes | 12 months to Apr 07 | 12 months to Apr 08 | Variance | Monthly Average to Mar 08 |
|------------------------------------|---------------------|---------------------|------------|---------------------------|
| Not Upheld | 4304 | 4058 | -6% | 338 |
| Excluded matters | 535 | 428 | -20% | 36 |
| Required no regulatory action | 3710 | 3625 | -2% | 302 |
| Conciliated (service) | 59 | 5 | -92% | 0 |
| Upheld | 639 | 665 | +4% | 55 |
| Letter of Advice | 192 | 216 | +13% | 18 |
| Formal decision made | 447 | 449 | +0% | 37 |
| Regulatory Settlement Agreement | 0 | 0 | N/A | 0 |
| Referred to SDT (see notes) | 42 | 141 | - | 12 |
| Other | 11 | 11 | +0% | 1 |
| TOTAL | 4996 | 4875 | -2% | 406 |

There has been a 13% increase in the number of letters of advice issued in the past 12 months compared to the previous 12 months. This is a result of improved focus on risk-based and proportionate responses to the reports of misconduct we receive.

Reductions in both conciliated and excluded matters are a result of the transfer of specialist work to the LCS in 2006.

The significant rise in matters with the outcome 'Referred to SDT' is due to changes to the set of outcome codes made in December 2006 when this particular code was introduced. Prior to this, any matters referred to the Tribunal upon closure would have been counted under the 'Formal decision made' category.

Combining these two categories for the last 24 months gives an overall increase of 21% in the number of files where allegations were either formally upheld or were referred to the SDT upon closure year on year.

* The 42 matters referred to the SDT upon closure relate only to files closed since December 2006 when this outcome code was introduced, not to a full 12 month period. The year on year variance is therefore not shown.

Client Protection Compensation Fund

The **Compensation Fund** deals with and investigates applications for payments from the Fund from people who have suffered financial loss due to a solicitor's dishonesty or failure to account for monies received. The Unit can award funds to Applicants up to a delegated limit; an Adjudicator decision is required for higher sums.

Claims and Payments made in the last 24 months

| Amounts in £ million | STANDARD CLAIMS | | | EMERGENCY FUNDING | | |
|-------------------------|-----------------|-----------------|------------|-------------------|-----------------|------------|
| | new claims | value of claims | £ paid out | new claims | value of claims | £ paid out |
| 12 m to Apr 08 | 1,457 | £23.28 M | £9.17 M | 28 | £1.26 M | £1.14 M |
| 12 m to Apr 07 | 3,480 | £23.44 M | £7.96 M | 17 | £0.93 M | £1.02 M |
| variation | -58% | -1% | +15% | +65% | +35% | +12% |

Claims relating to emergency funding have been separated out from others this month, and the analysis period extended to cover the last 24 months. The figures shown are those currently recorded so historical claim values may have been altered since previous reports where the claim value changes during the course of an investigation. In particular, emergency funding claim values are adjusted once any unused funds have been returned (with interest), so the value of claims will often decrease significantly within a few months of receipt.

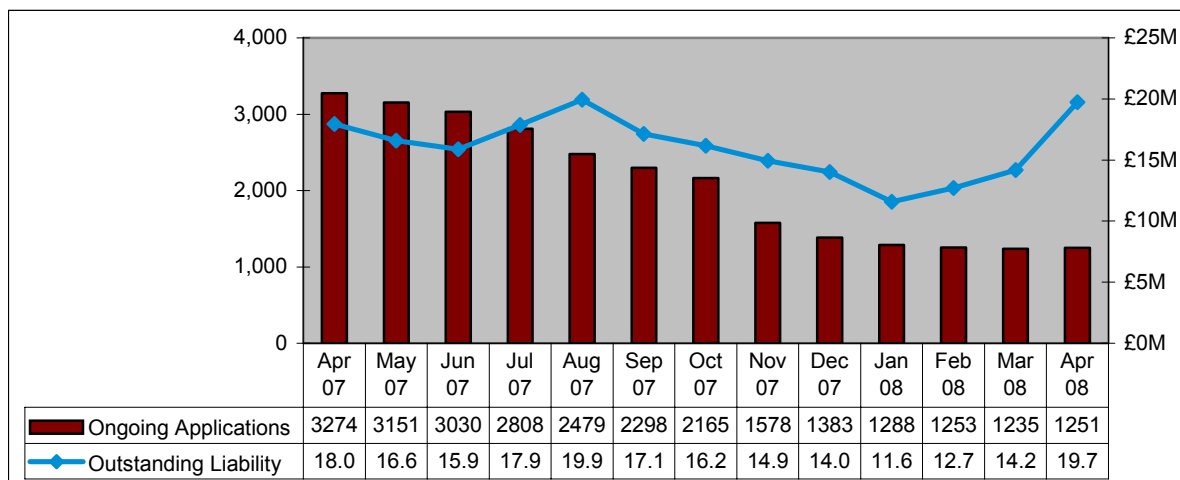
There was a high value of grants paid out this month, and amounts paid out have increased year on year. Whilst the number of new claims has more than halved year on year, the average value of each claim has increased significantly (from £6,737 to £15,981), as the overall value remains steady.

Payments on Applications Concluded

The following table shows the overall value represented by the claim files closed in the last 12 month and 12 months previous, against the amount paid out on these particular applications. Both the amounts involved and proportion of the claim that was successful have decreased year on year.

| Amounts in £ million | TOTAL CLAIMED | TOTAL PAID OUT | % PAID OUT OF AMOUNT CLAIMED |
|-------------------------|------------------|-------------------|---------------------------------|
| 12 m to Apr 08 | £36.38M | £8.82M | 24% |
| 12 m to Apr 07 | £51.63M | £17.77M | 34% |
| variation | -30% | -50% | -30% |

Outstanding Liability



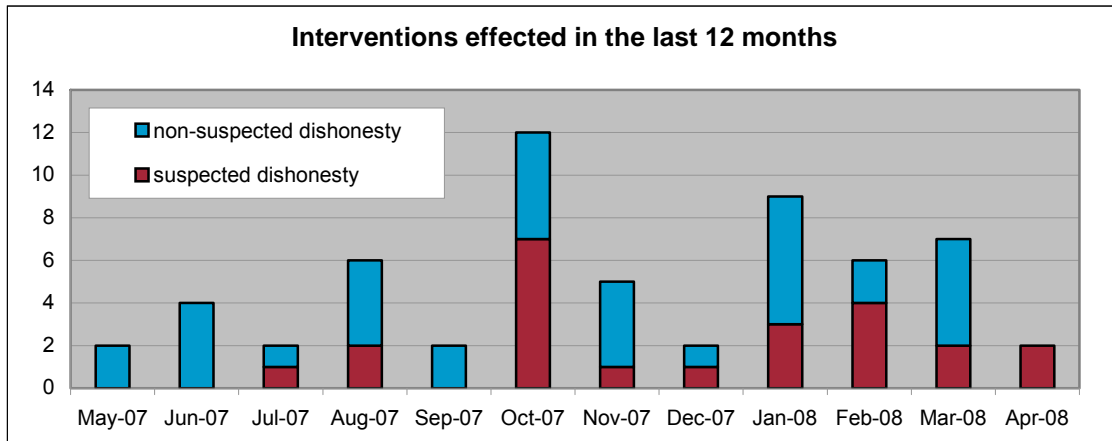
The number of applications open has levelled off over the last few months at just over 1,200 after the consistent decreasing trend seen throughout 2007.

Outstanding liability has however increased sharply this month with several very large claims being received (3 of these new claims have a collective value of £3.5M) and another large claim reopened during April.

Client Protection Interventions

Client Protection also conducts interventions into solicitors' practices, oversees the recovery of client papers under paragraph 3 of Schedule 1 or section 44B of the Solicitors Act 1974 and deals with the recovery of costs associated with these activities.

There were just 2 interventions effected this month, both of which were on the grounds of suspected dishonesty and were effected within target. The picture over the last 12 months is as follows:



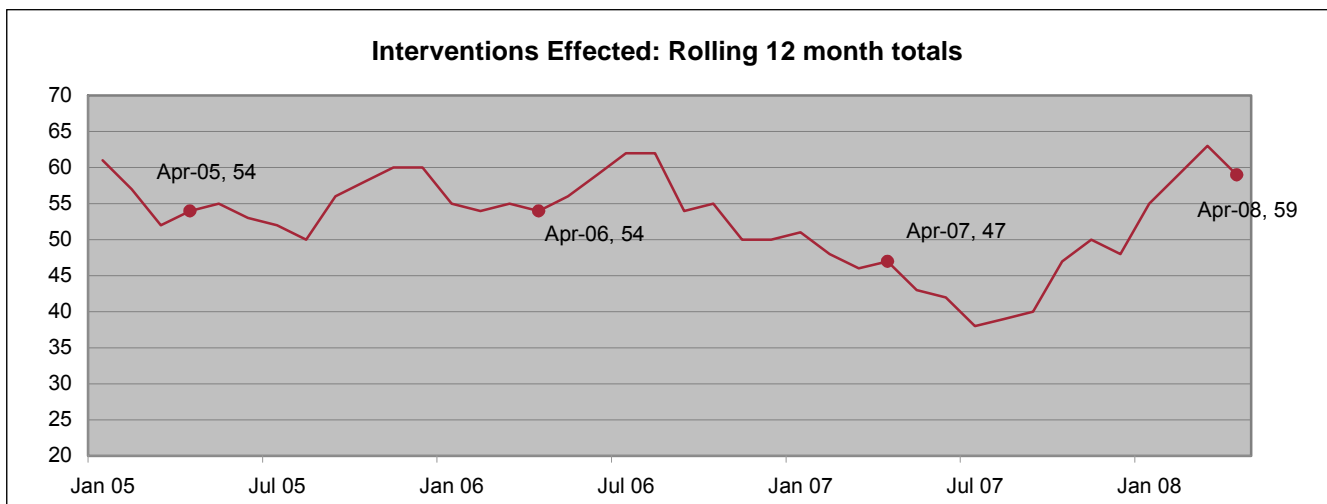
Interventions have increased 26% year on year, with the proportion of those effected on the grounds of suspected dishonesty also increasing. 39% of interventions effected in the last 12 months involved suspected dishonesty, as compared with 28% in the previous 12 months.

| 12 m FIGURES | INTERVENTIONS EFFECTED | Suspected Dishonesty | No Suspected Dishonesty | Sole Practitioner | 2 - 4 Partner firm |
|----------------|------------------------|----------------------|-------------------------|-------------------|--------------------|
| 12 m to Apr 08 | 59 | 23 | 36 | 45 | 14 |
| 12 m to Apr 07 | 47 | 13 | 34 | 43 | 4 |
| % variation | +26% | +77% | +6% | +5% | +250% |

76% of interventions were into sole practitioners' firms with an average of 3.75 sole practitioner's firms being intervened into each month over the last 12 months. This proportion has decreased year on year, however, with interventions involving between 2 and 4 partners increasing from 9% to 24% of those effected.

Long term trends

This chart shows the fluctuations in numbers of interventions taking place over a 12 month period by looking at the total for the year up to the end of each month.

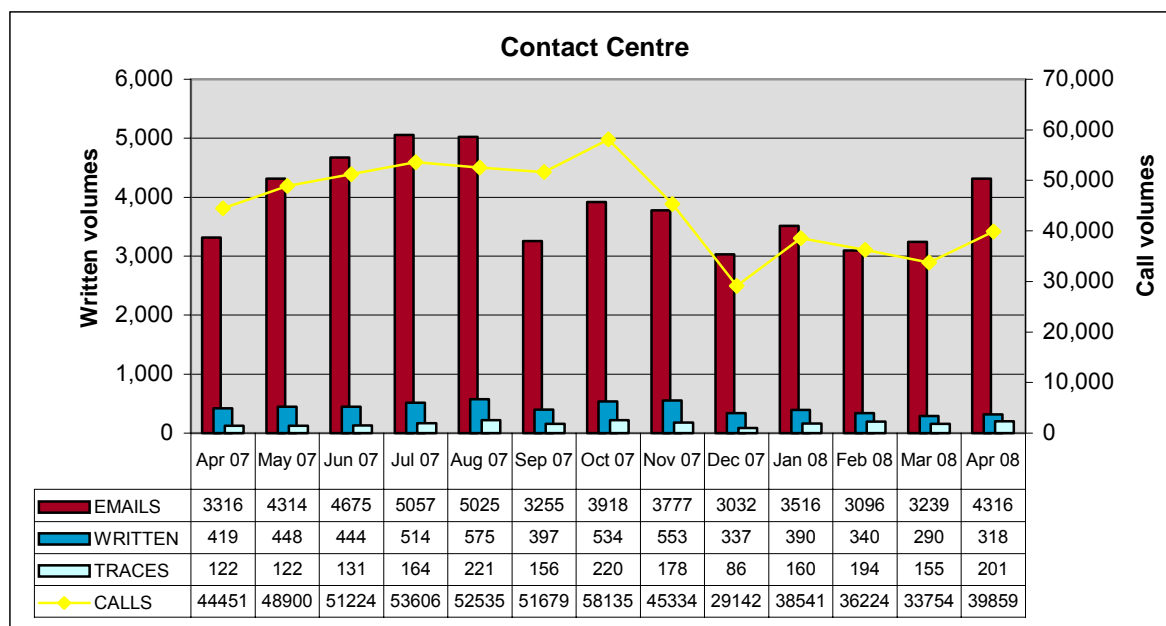


This puts the recent rise in interventions into context of a decline in numbers during 2006 following two years where higher levels of interventions were seen from 2004 to 2005.

Contact Centre

The volume of calls into the Contact Centre during April increased by 18% against March levels. There was an improvement in service level this month as the contact centre answered 81% of calls within 60 seconds, further exceeding their target level for 2008 of 70%. Abandonment rates have also improved again, with just 4% of the 39,859 calls received being abandoned during April.

Almost 2,000 historical traces have been carried out over the last 12 months and these are shown on the graph below. Email figures have been adjusted to exclude any traces previously included.



Operations Unit

The Operations Unit is responsible for the regulatory exercises including PC renewal, solicitor annual enrolment and student enrolment and for maintaining the roll of solicitors through record changes.

Following the dispatch of around 9,000 student enrolment applications, this month saw another 1,654 received for processing. The remainder are expected to enrol over the next 3 to 4 months before LPC courses commence.

The annual renewal for solicitors who wish to remain on the roll has now begun, with over 18,000 renewal forms returned in the last 2 months. Following last year's successful pilot, a proportion of these renewals will take place via a new simplified process which enables more detailed consideration of applications from individuals posing greater regulatory risk.

Work has commenced to enable the unit to process the applications for entity based regulation in line with the commencement of the Legal Services Act.

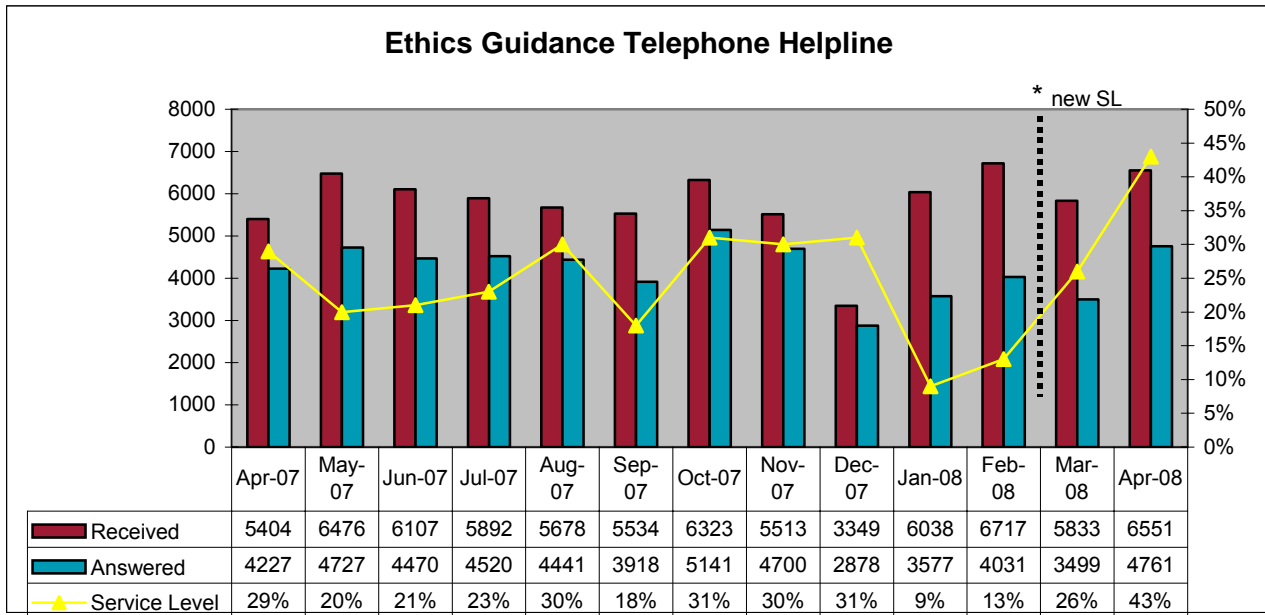
Caseworking & Applications Unit

QLTT application levels remain high, with 448 received in the last month. This brings the year to date total to over 1,800, a 128% rise on January to April 2007. The increased levels were anticipated due to the proposed revision of the Qualified Lawyers Transfer Regulations.

Applications for admission to the roll are up 17% this year to date as compared with January to April 2007. Looking over the longer term however, the increase shown is smaller, with a rise of just 4% year on year.

Regulation Standards Ethics Guidance Service

The **Professional Ethics Guidance Team** provides confidential guidance to help solicitors comply with their professional obligations.

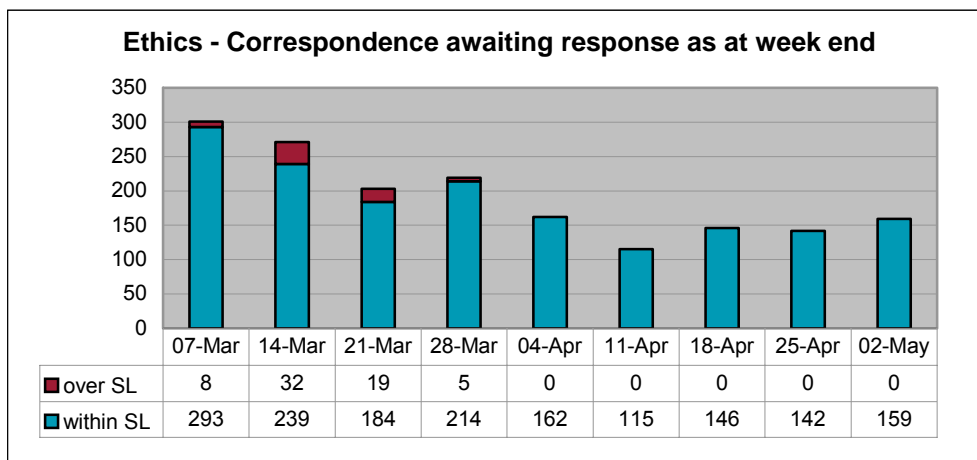


The Service Level on the graph above shows the percentage of calls that were answered within target timescales. Prior to 25 February 2008, this was 30 seconds. The service level target has now been revised, and all calls received since 25 February this year are measured against a target of 60 seconds.

There were high volumes of calls in to the Ethics Guidance helpline during April. The top areas on which the profession were seeking guidance via telephone or written enquiry this month were again as follows:

- Confidentiality and disclosure
- Conflicts of interest
- The Solicitors' Accounts Rules

Improvements to performance against service level targets are now being seen: there has been a significant increase again in service level achieved this month, following the introduction of the new target. Abandonment rates, whilst still high at 27%, are down at their lowest level this year to date.



The improvements on the telephones should be seen in the context of extremely high performance against the new service level for written enquiries this month. The timescale of 20 days which has been used since Autumn 2007 has halved and the Guidance team will now aim to respond to all written enquiries within 10 days. Throughout April, there were no outstanding enquiries at the end of each week that were over 10 working days old.

Appendix 1: Resources

HRD, Budget Report

Monthly HRD Update

- As at 30th April 2008, the FTE for the SRA was 523.92 with 92.83 vacancies.
(There are 9 fixed-term temps and 44.50 FTE agency and contractors sitting against those vacancies).
- The budget FTE remains at 616.75
- 44 delegate days of training have been provided internally, including an Induction for new starters attended by 17 members of staff and training on Performance Coaching.

Budget Report

Direct Costs summary for the 4 months ending 30 April 2008.

| £ 000's | Apr '08 Actual | Apr '08 Budget | Variance | YTD Actual | YTD Budget | Variance |
|--|-------------------|-------------------|--------------|---------------|---------------|--------------|
| Total Staff Expenditure: | 2,247 | 2,424 | 176 | 8,827 | 9,457 | 630 |
| > Salary Costs | 2,173 | 2,307 | 134 | 8,408 | 9,019 | 612 |
| > Other staff costs | 74 | 117 | 43 | 419 | 437 | 18 |
| Total Administration Costs | 341 | 1,031 | 690 | 2,584 | 3,823 | 1,239 |
| Total Other Costs | -162 | 01 | 164 | 437 | 600 | 163 |
| GROSS Expenditure (before recoveries) | 2,426 | 3,455 | 1,030 | 11,847 | 13,880 | 2,032 |
| Total recoveries | -675 | -810 | -135 | -2,927 | -3,239 | -312 |
| GROSS Expenditure (after recoveries) | 1,751 | 2,645 | 895 | 8,920 | 10,641 | 1,721 |
| Total Income | -1,055 | -746 | 308 | -3,160 | -2,604 | 557 |
| NET EXPENDITURE | 696 | 1,899 | 1,204 | 5,759 | 8,037 | 2,278 |

For budget purposes, total annual income is distributed evenly throughout the year, although the actual income pattern is seasonal.

Appendix 2: Headline Summary of SRA performance against LSCC strategic targets (April 2008 to March 2009)

The table below shows the SRA's performance against the new LSCC Strategic Targets during the first month of the 2008/09 plan year.

| Current month | Year to date | LSCC Target | Variance from target |
|--|--------------|------------------------------|----------------------|
| Strategic priority 1: Building on, and maintaining the improvement in the timeliness of handling complaints | | | |
| Target T3: Number of live cases open for 12 months or more | | | |
| 14 | n/a | No cases open over 12 months | - 14 |
| Target T4: Number of live complaints-based SDT matters open for 18 months or more | | | |
| 0 | n/a | No cases open over 18 months | 0 |
| Strategic priority 2: Improving the outcome of decisions on complaints | | | |
| Target Q2: Percentage of closures where fair and reasonable outcome with no case failings. | | | |
| n/a * | n/a | 90% | n/a |
| Strategic priority 3: Implementing the plan for complaints handling | | | |
| Target P1: Delivery of initiatives as required to achieve the business improvement outcomes identified in the Plan. | | | |
| | | | |
| Strategic priority 4: Improving cost efficiency in the handling of complaints. | | | |
| Target C2: 5% increase in caseworker productivity | | | |
| 9% | 9% | 5% increase | + 4% |

* Performance against Target Q2 is measured by audit and reported on a quarterly basis.

Targets such as T1 and T2 which are not shown relate to the work of the Legal Complaints Service.

Appendix 3: Glossary of terms

| | |
|-------------------------------|---|
| CCS | Consumer Complaints Service (now the LCS - see below) |
| CDT | Conduct complaint |
| Compliance Directorate | SRA Directorate dealing with all investigation and enforcement work, together with much of the work formerly dealt with by the former OSS Solicitors' Practice Unit |
| Conduct and Service | Normally referring to the work of CIU, but also ICT. This is the distinction made by the SRA between complaints of poor <i>service</i> , for which redress can be offered (handled by the LCS), and complaints of misconduct |
| CRB | Criminal Records Bureau |
| CRO | A complaint about inadequate professional service |
| Decisions | There are two sorts of decisions: those made by Adjudicators, where there can be a number of decisions in relation to a matter, and the decisions (orders) by the SDT which tend to be the decision on the totality of a case presented to them – more usually one case, one decision |
| FTE | “Full-time equivalent”, a measure of the number of staff. The budget FTE - actual FTE equals the number of vacancies |
| HRD | Human Resources & Development |
| Intervention | A formal decision of the adjudication panel to intervene into a solicitor's practice, which results in all monies and papers held by the solicitor being taken by the Law Society. Interventions are subject to a statutory appeal direct to the High Court |
| Inspections | Term normally used in connection with Accounts Inspections by the Forensic Investigation department |
| KPI | Key Performance Indicator |
| LCS | Legal Complaints Service (formerly CCS) |
| LSCC | Legal Services Complaints Commissioner |
| LSO | Legal Services Ombudsman |
| PC | Practising Certificate |
| PSU | Practice Standards Unit |
| QLTT | Qualified Lawyers Transfer Test |
| RDC | Redress Conduct - conduct issues arising from a redress matter handled by the LCS. |
| Regulatory | In this report, refers to the work of Regulatory Investigations |
| REL | Registered European Lawyer |
| RFL | Registered Foreign Lawyer |
| SDT | Solicitors Disciplinary Tribunal |
| SRA | Solicitors Regulatory Authority |
| Throughput | The volume of cases passing through the SRA from creation to completion |
| Tribunal | The independent Solicitors Disciplinary Tribunal (SDT) |
| WIP | Acronym for “Work In Progress”, cases not concluded during the month, |

Age of Cases

The methodology for calculating the age of cases:

The age of a case will be calculated from the day the case was created on the computer system.

For reporting purposes the age of cases will be grouped as follows:

0-3 months = 0-91 days

0-6 months = 0-183 days

0-9 months = 0-274 days

0-12 months = 0-365 days

0-18 months = 0-548 days