



Solicitors  
**Regulation**  
Authority

# **SRA Summary of Performance Measures and Statistics**

August 2007

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# Headlines

## Headline Statistics for August 2007

- **Solicitors Disciplinary Tribunal** orders recorded by the SRA have increased by 12% year on year. The number of solicitors suspended from practice in the last 12 months has increased by 48%. 54% of those suspensions were for an indefinite period.  
▶ *see page 4*
- The average age of **Tribunal Proceedings** issued this month has come within target at 5 months, against the departmental target of 6 months. There are currently 183 matters in progress where proceedings have not yet been issued. ▶ *see page 5*
- Firms receiving a monitoring visit by the **Practice Standards Unit** generate between 15% and 21% less complaints than prior to a visit. Firms that have not received a monitoring visit generate between 1% and 11% more complaints in the same analysis period. ▶ *see page 7*
- The **Regulation Unit** has seen a 14% increase in the number of matters referred to the SDT upon conclusion in the last 12 months as compared with the 12 months leading up to August 2006. ▶ *see page 8*
- In the **Conduct Assessment & Investigation Unit** there has been a 22% increase in the number of files where allegations were upheld or referred to the SDT upon closure.  
▶ *see page 9*
- Claims made to the **Compensation Fund** year-to-date are 69% down on this time last year and the number of outstanding applications has fallen further, standing at just 72% of the level we saw at the peak in February 2007. ▶ *see page 10*
- All 39 **Interventions** effected in the last 12 months relate to firms of 4 or less partners. 82% were sole practitioners. ▶ *see page 10*
- August has seen further improvements to service levels in **Information Services**. Service levels for written and email communication are now standing at 100% and 98% respectively and the proportion of calls being answered within 30 seconds has risen further to 42% overall. ▶ *see page 11*
- The **Registration Project Team** have received in excess of 10,000 student enrolment applications this year. This year to date the team have seen a 6% increase in student enrolment as compared with August 2006 year to date. ▶ *see page 11*
- **Equality & Diversity** reporting is currently under review. Early analysis around gender shows that while 75% of the subjects of Regulation and CAI's investigations are male and 25% female, in terms of outcome, allegations are upheld against 32% of male solicitors and 30% of female solicitors. We will develop and undertake monitoring and analysis in other areas such as ethnicity and age to see whether a similar pattern emerges. ▶ *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.

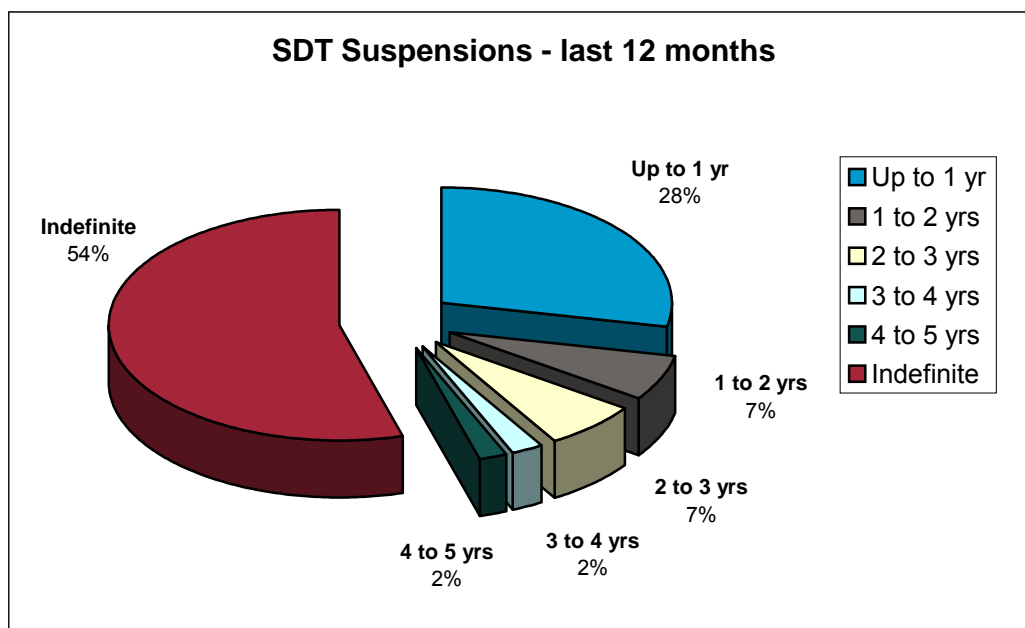
Orders made by the SDT are recorded by the SRA when they come into effect, which in most cases is immediately, but in a few cases there is a time lapse before the order comes into effect.

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		Variance	Monthly Average to July 07
	August 06	August 07		
Fined	74	96	+30%	8
Struck Off	67	75	+12%	6
Suspended	31	46	+48%	4
No Order	12	6	-50%	1
Other	61	51	-16%	4
<b>TOTAL</b>	<b>245</b>	<b>274</b>	<b>+12%</b>	<b>23</b>

A breakdown of the suspensions recorded in the last 12 months is shown below. The majority are indefinite suspensions, with the most common fixed-period suspensions lasting up to one year.

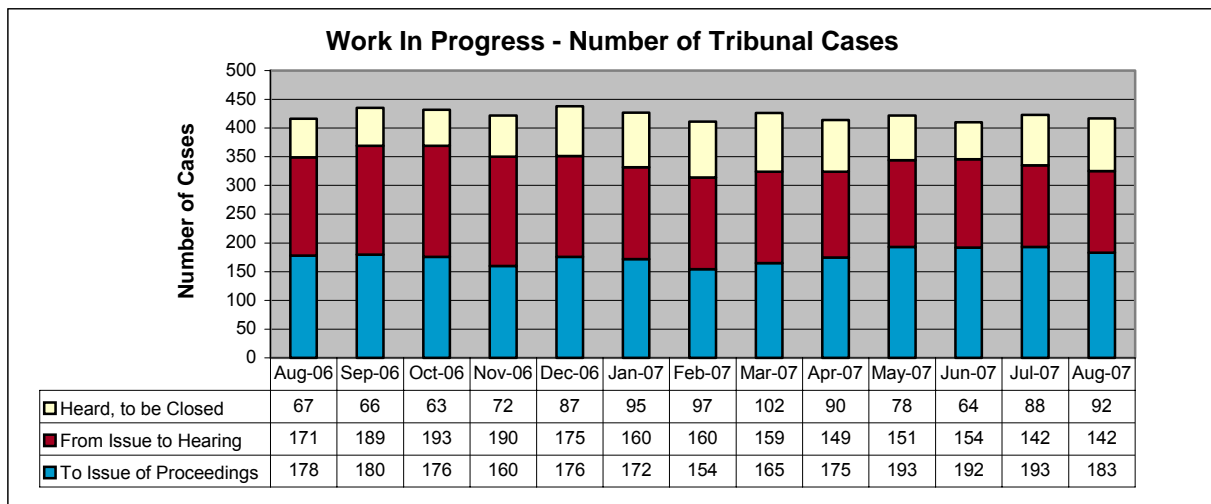
The maximum suspension period issued in the last 12 months was 5 years, against an average of 1.6 years.



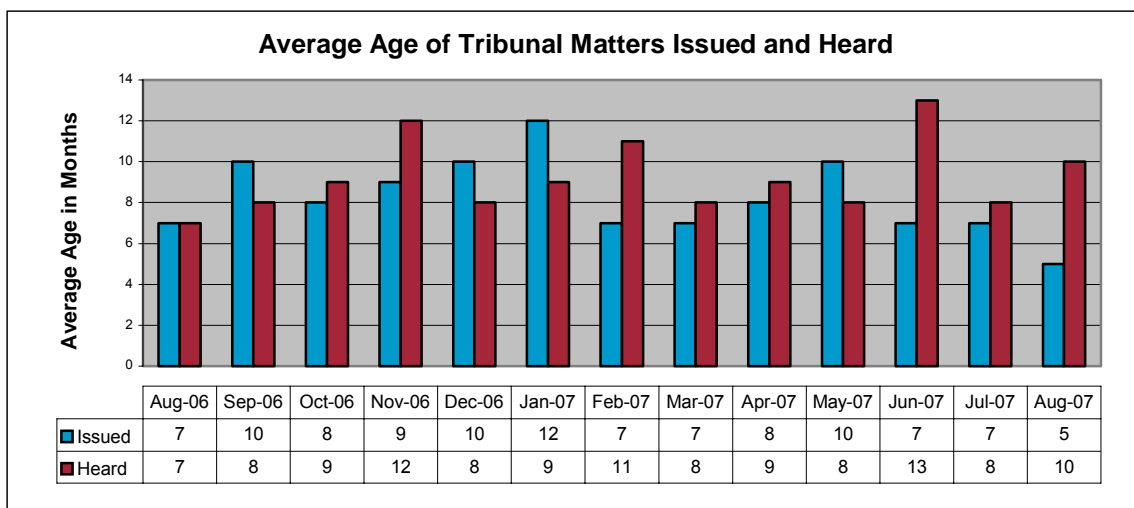
# Legal Prosecutions

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 Aug-06	To Aug-07	Variance	Monthly Average
New Cases	280	301	+8%	25
Closed Cases	250	301	+20%	25



The chart above refers specifically to Tribunal matters against solicitors (TRI matter types). There are also 30 Section 43 applications in progress. Section 43 orders are used to prevent a solicitor from employing a person subject to the order without first obtaining the written permission of the office.

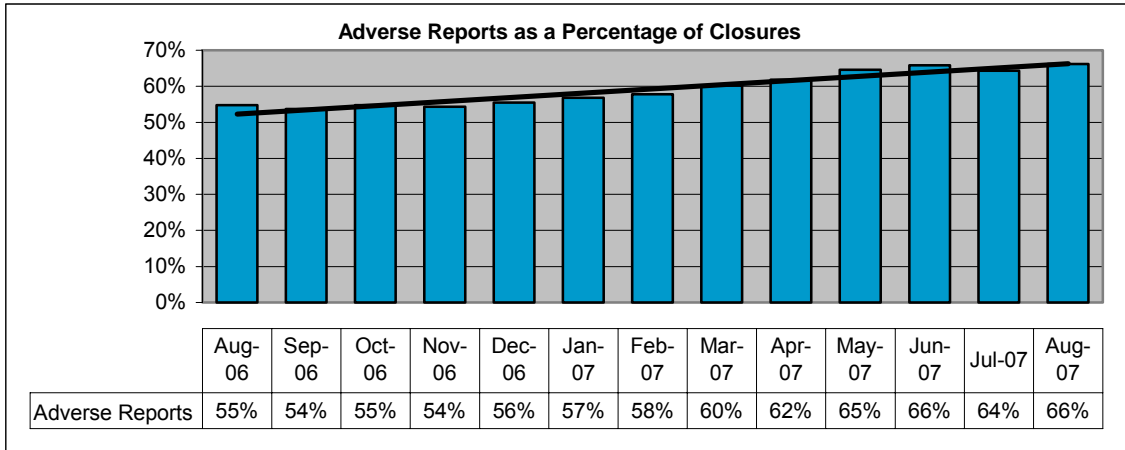


A new TRI matter is created when the decision is made to refer the matter to the SDT. The Disciplinary Team's target is to issue proceedings within 6 months of creation of that TRI matter. The SDT, in turn, aims to hear matters within 6 months of issue. Previous reporting measured the age at issue of just those matters that had been heard in the reporting month. Data collection has been reviewed and the chart above now shows the age of those matters issued in the reporting month, as this measure is more reflective of the current work of the team.

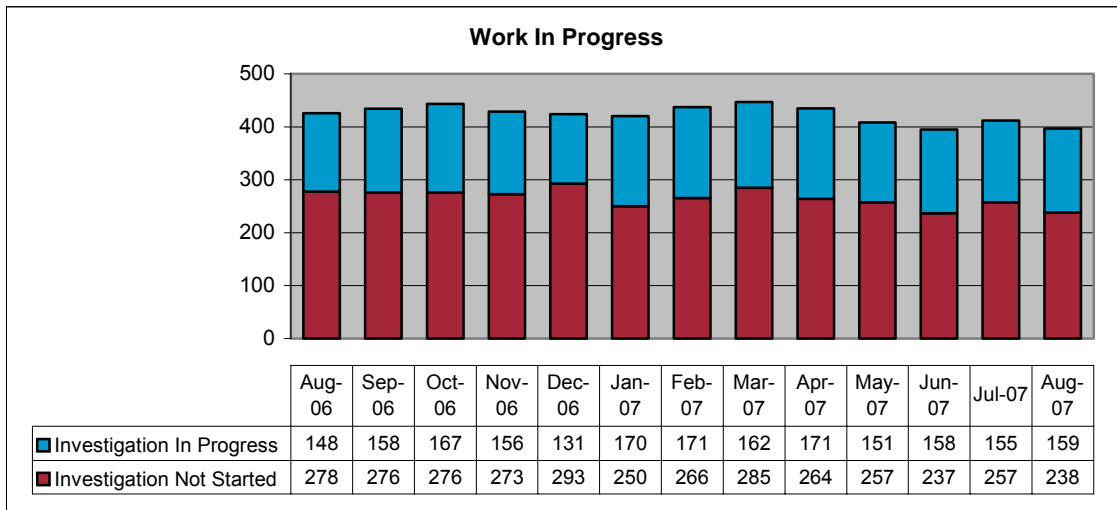
# Inspection & Investigation

## 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.



	12 Months			
	To Aug-06	To Aug-07	Variance	Monthly Average
New Investigation Files Created	443	394	-11%	33
Closed or Rescinded	507	435	-14%	36



The proportion of adverse reports remains high, as shown in the first chart. There are several factors influencing this trend, 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 focused intelligence, which is another key factor impacting on the proportion of adverse findings.

### Note on Forensic Investigation Outcomes:

On-Site certificates are issued to the firm where the identified breaches or conduct are not material or minor corrective action is required following an investigation. Adverse reports are 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 transferred to other departments within the SRA responsible for enforcement actions.

## 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.

<b>PERFORMANCE MEASURES Year to Date</b>	To Aug-06	To Aug-07	To Aug-07 Target	Variance to Target
Full Risk Profiles Completed	793	921	748	23%
Total Visits Completed	767	580	670	-13%
Client Care Seminars	8	1	1	0%

Total visits completed are 13% down on target due to the programme of Referral Arrangement Compliance Project (RACP) visits which were being completed by the Unit earlier in the year. Profiles completed in August are up though by 193% due to a large number of random profiles being undertaken.

Firms receiving a monitoring visit by PSU generate between 15% and 21% less complaints than prior to a visit. Firms that have not received a monitoring visit generate between 1% and 11% more complaints in the same analysis period.

<b>Visit Outcome Grade</b>	<b>Aug-06</b>	<b>Sep-06</b>	<b>Oct-06</b>	<b>Nov-06</b>	<b>Dec-06</b>	<b>Jan-07</b>	<b>Feb-07</b>	<b>Mar-07</b>	<b>Apr-07</b>	<b>May-07</b>	<b>Jun-07</b>	<b>Jul-07</b>
<b>A</b>	10	7	6	11	2	5	4	4	3	7	5	1
<b>B</b>	54	53	66	50	15	60	52	34	30	27	50	45
<b>C</b>	26	30	29	26	9	20	15	11	14	18	17	11
<b>D</b>	6	4	7	3	3	2	2	2	4	3	1	1
<b>No Grade</b>	0	0	0	0	0	0	0	9	8	10	3	0
<b>Awaiting Grade</b>	0	0	0	0	0	0	0	0	0	0	3	22
<b>% of Graded Firms with Grade C or D</b>	<b>33%</b>	<b>36%</b>	<b>33%</b>	<b>32%</b>	<b>41%</b>	<b>25%</b>	<b>23%</b>	<b>25%</b>	<b>35%</b>	<b>38%</b>	<b>24%</b>	<b>15%</b>

A = Evidence of satisfactory compliance with Practice Rules although some improvements may be necessary.  
 B = A number of minor weaknesses and/or breaches of Practice Rules identified for corrective action.  
 C = A number of significant weaknesses and/or breaches of Practice Rules identified for corrective action.  
 D = Significant weaknesses and/or breaches in Practice Rules and urgent remedial action is necessary.  
 No Grade = RACP visits completed by PSU which are not graded.

Following visits to firms, a visit outcome grading for internal purposes only is made based on the findings and areas of weakness. The average percentage in the last 12 months of those firms receiving a grade C or D is 29%. While the percentage of grade C or D for July 07 is low, many visits still remain to be graded.

<b>No. of Visited Firms where Referrals Have Been Made to Other Units</b>												
	<b>Aug-06</b>	<b>Sep-06</b>	<b>Oct-06</b>	<b>Nov-06</b>	<b>Dec-06</b>	<b>Jan-07</b>	<b>Feb-07</b>	<b>Mar-07</b>	<b>Apr-07</b>	<b>May-07</b>	<b>Jun-07</b>	<b>Jul-07</b>
<b>Formal Referrals as % of Visited Firms</b>	7%	7%	5%	7%	10%	2%	10%	5%	8%	6%	8%	5%
<b>Intelligence Referrals as % of Visited Firms</b>	8%	9%	7%	11%	31%	5%	11%	7%	12%	2%	6%	0%

As PSU makes site visits, it is well placed to judge whether firms should be formally referred to Regulation Response or Inspections & Investigations for further disciplinary action where they are not responsive to PSU's supportive approach, or in cases of suspected dishonesty or serious regulatory breaches. PSU also make intelligence referrals to Regulation Response or Inspections & Investigations for consideration of issues which may not require disciplinary action but of which they need to be aware. The average percentage in the last 12 months of those firms being formally referred is 6.4%.

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 Regulation Unit

The **Regulation Unit** imposes Practising Certificate controls, deals with applications for approvals by solicitors and unadmitted persons, investigates information about regulatory breaches and deals with FI reports. A minority of cases (c. 5%) are generated from information received from the public.

REGULATION MATTER DECISIONS IN THE LAST 12 MONTHS	To August 06	To August 07	Variance	Monthly Average To August 07
PC Conditions	1408	1838	+31%	153
Intervention	125	87	-30%	7
Referral for Disciplinary Proceedings	341	388	+14%	32
Vest Discretion	253	230	-9%	19
Accountants Reporting Issues	334	223	-33%	19
Finding/Warning/Rebuke/Reprimand	720	772	+7%	64
No Action	335	346	+3%	29
Other	355	308	-13%	26
Costs Directions	429	374	-13%	31
<b>TOTAL</b>	<b>3871</b>	<b>4192</b>	<b>+8%</b>	<b>349</b>

Note: Although there has been a significant increase in decisions relating to PC conditions in the 12 months to August 2007, approximately 48% of the additional applications were in respect of 2 large multi-partner firms. In an exceptional occurrence, 2 large firms failed to comply with the regulations in respect of delivery of accountants reports. Consequently, the SRA can exercise discretion in respect of the Practising Certificate of each partner within those firms, and a Regulatory decision was required for each one.

In the last 6 months, the Regulation Unit have finalised 1124 applications and concluded 945 investigations. Of those applications:

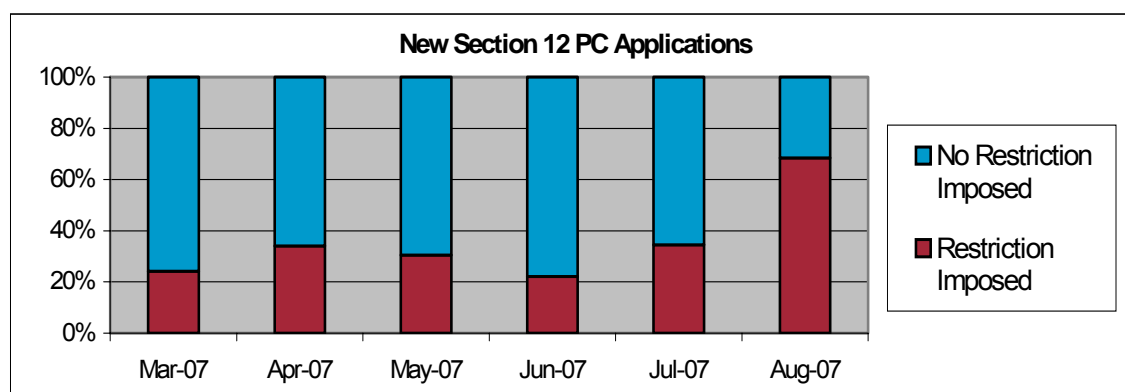
**417 (37%)** were non-Section 12 applications. This includes Section 41 and 43 applications relating to employment, and Accountants' reporting issues.

**277 (25%)** were existing Section 12 applications.

**367 (33%)** were new Section 12 applications.

(63 applications were withdrawn)

The allegations under investigation were upheld in **411 (44%)** cases. **161 (17%)** resulted in a referral to the SDT. **266 (28%)** were not upheld.



In December 2006 improvements were made to enable better data recording in respect of the outcome of Regulatory Applications. The chart above shows the outcome of all new Section 12 applications.

Over the last 6 months, 30% have resulted in a restriction on practice. It should be noted that the increase shown for August is in real terms a decrease in restrictions made as only 19 new section 12 applications were dealt with this month, as compared with an average of 70 in the 5 months previous.

## Regulation Response CAI

The **Conduct Assessment and Investigation Unit (CAI)** deals initially with all third party (non-client) complaints of misconduct received by the SRA, as well as referrals of conduct information from LCS. The table below reflects the transfer of all specialist redress work from CAI to LCS on 1<sup>st</sup> June 2006. The majority of CAI's workload consists of assessing and closing complaints where there is no issue or evidence of misconduct. CAI 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.

Outcomes	12 Months			
	To August 06	To August 07	Variance	Monthly Average To Aug 07 *
<b>Not Upheld</b>	<b>5213</b>	<b>4144</b>	<b>-21%</b>	<b>345</b>
Excluded matters	1071	448	-58%	37
Required no regulatory action	3893	3675	-6%	306
Conciliated (service)	249	21	-92%	2
<b>Upheld</b>	<b>599</b>	<b>654</b>	<b>+9%</b>	<b>55</b>
Letter of Advice	139	192	+38%	16
Formal decision made	460	462	+0%	39
<b>Referred to SDT</b>	<b>0</b>	<b>77</b>	<b>n/a</b>	<b>6</b>
<b>Other</b>	<b>8</b>	<b>10</b>	<b>+25%</b>	<b>1</b>
<b>TOTAL</b>	<b>5820</b>	<b>4885</b>	<b>-16%</b>	<b>407</b>

\*Monthly average based on January '07 to date

There has been a 38% 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 focus on risk-based and proportionate responses to the reports of misconduct we receive.

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

Changes to the recording of investigative outcomes have meant that referrals to the SDT are now recorded as a distinct outcome, where they used to be included under 'Upheld - Formal Decision Made' (see note below). Overall there has been a 22% increase in the number of files where allegations were upheld or referred to the SDT on closure.

See Appendix 3 on page 15 for performance against current LSCC targets.

In 2004, on the recommendation of the Independent Commissioner, the available outcome options were changed to better reflect the outcome of complaints. Matters created before that change could still be closed using the now obsolete outcome definitions. Those definitions cannot readily be classified as either upheld or not upheld. Such matters are therefore included in the above table as "other". In December 2006 the outcome codes were modified to include "Referred to SDT".

# Client Protection Compensation Fund & Interventions

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

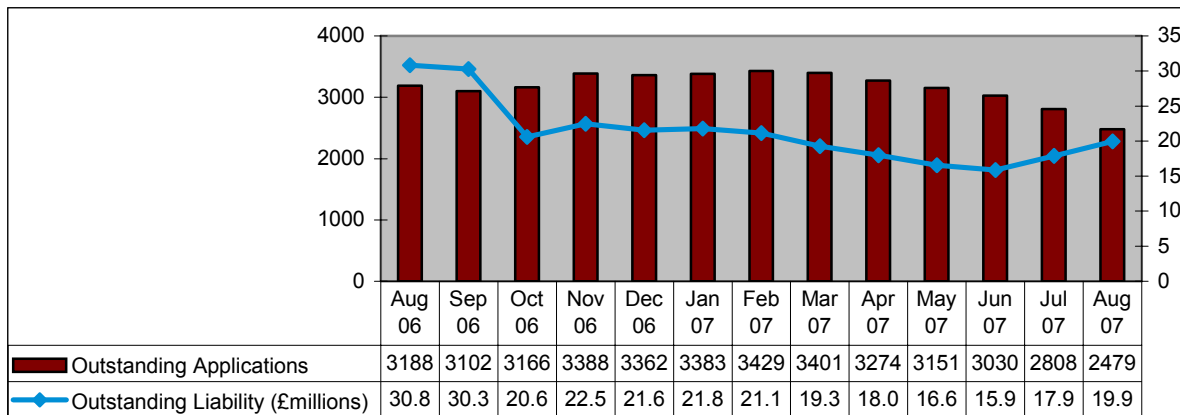
Amounts in £ million	YTD	
	CLAIMED YTD	PAID YTD
<b>August 07</b>	<b>£8.4M</b>	<b>£6.9M</b>
August 06	£26.9M	£7M
Variation	-69%	-1%

## Ongoing Claims

Amounts in £ million	VALUE OF OPEN CLAIMS	REJECTED	REVISED CLAIM *
<b>August 07</b>	<b>£24.5M</b>	<b>£1.1M</b>	<b>£24.8M</b>
August 06	£42M	£0.4M	£44.9M
Variation	-42%	175%	-45%

\* The Revised Claim takes into account any payments made over and above the original claim, and the total amount already rejected.

## Outstanding Liability



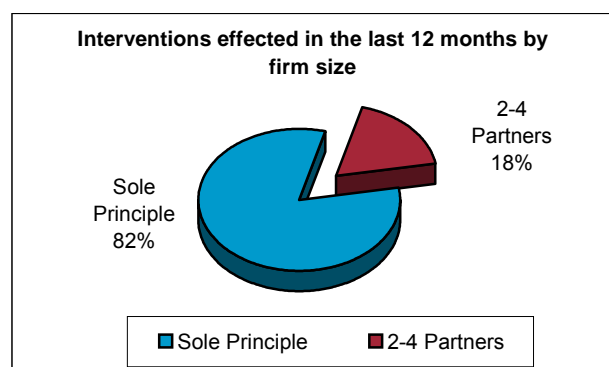
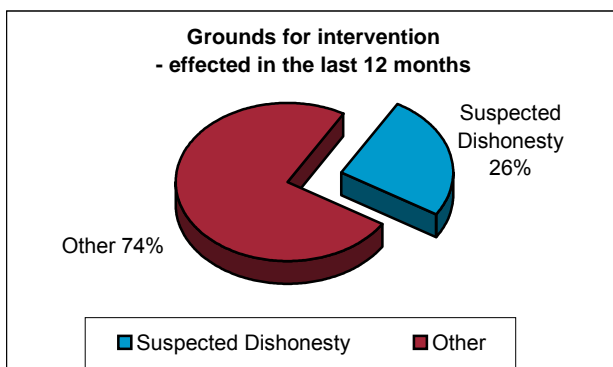
Following a sustained and steady increase over the twelve months prior to November 2006, the number of outstanding applications is continuing to decline. It now stands at just 72% of the peak seen in February.

Outstanding liability against the fund has risen for a second consecutive month, following a steady decline over the previous 8 months.

## 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.

6 Interventions were effected this month, two on the grounds of suspected dishonesty. All 6 were effected within target. The average number of interventions taking place each month during 2006 was 4.2. For 2007 year-to-date the average is lower at just 3.4.

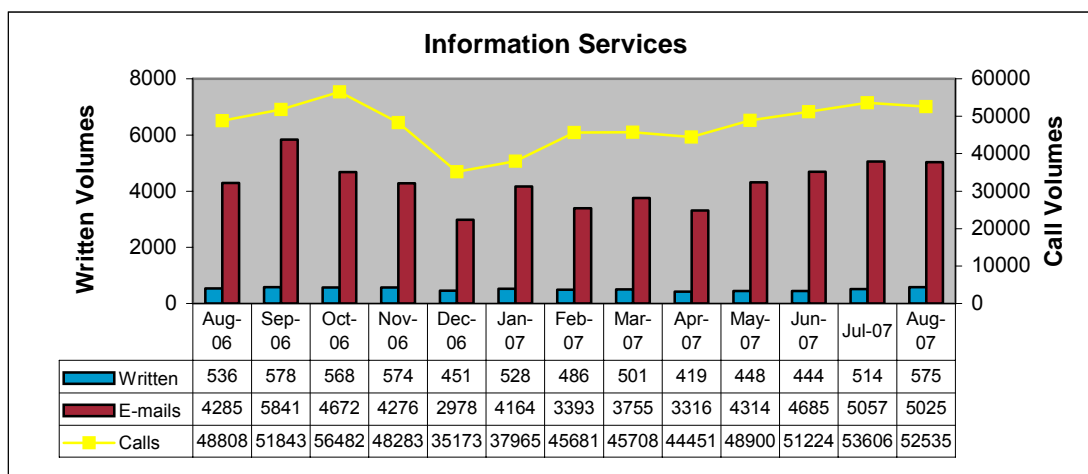


## Information

**Information Services** continue to receive a high number of calls, with emails and written correspondence also around their peak levels. The volume of calls received this year to date is 23% up on this time last year. The recent recruitment has had a positive impact on service levels, which are continuing to improve.

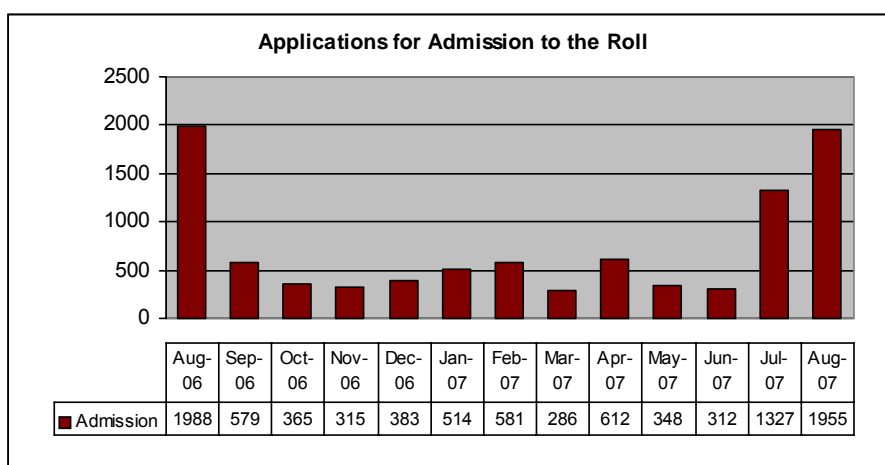
100% of written and 98% of email correspondence are dealt with within our published timescales, and overall, 42% of calls were answered within 30 seconds.

83 hours of training took place this month which has resulted in 7 more members of staff now being able to deal with student queries.



Student enrolment applications received by the **Registration Project Team** this year have now topped 10,000. They now stand at 10,123, which is 96% of the total number of enrolments received during 2006 and a 6% increase on the number received during 2006 by the end of August.

The **Customer Applications Team** is dealing with peak levels of applications for admission to the roll. The annual peak falls roughly 2 years after the end of the LPC course when most training contracts are completed.



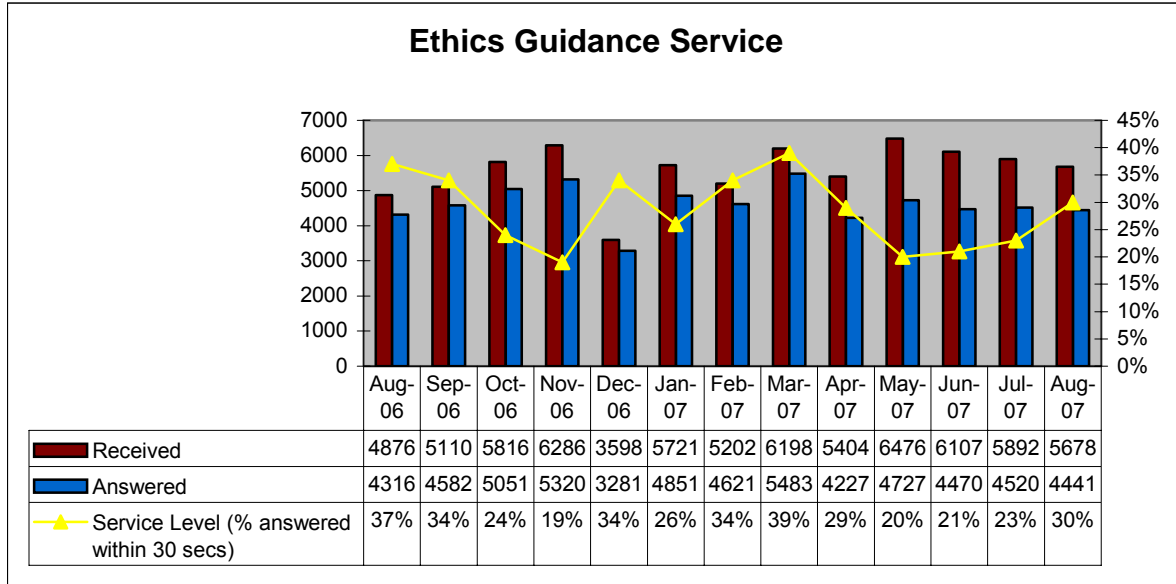
This year, the **Resolution Team** has dealt with an average of just 9.5 requests for removal from the roll each month, but has seen record levels of applications for restoration to the roll - a 102% increase on August 2006 YTD when we had received 726 applications. There have been 1467 this year so far.

The **Customer Records Team** (CRT) ensures that the corporate database is kept up to date with any amendments such as name and address changes, movement of the solicitors within organisations, memberships and affiliate status.

In the last 12 months, CRT have dealt with 33180 pieces of correspondence, over 50% of which relates to changes to firms (for example new practices, closures, mergers, splits and practice changes). 55932 changes have been made to the corporate database.

# Regulation Standards Ethics Guidance Service

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



The Ethics Guidance Helpline saw a 4% decrease in calls for the second month running, but a 16% increase compared to August 2006.

The proportion of calls answered within the 30 second target has increased to 30%, although 22% of calls were abandoned last month. Average response time for calls is down by 30 seconds on last month and now stands at 3 minutes and 50 seconds.

The Guidance Service continues to operate within service level for written correspondence with the majority of staff now achieving their individual key performance indicators.

Two new part-time advisers have recently been recruited and it is hoped that 2 further appointments will be made to continue to improve service levels.

# Appendix 1: Resources, Policy & Communications

## HRD and E&D data

### Monthly HRD Update

- As at 31st August 2007, the FTE for the SRA was 506.11 with 95.25 vacancies. (There are 6 fixed-term temps and 43.53 FTE agency and contractors sitting against those vacancies).
- The budget FTE is 601.36.
- 79.5 delegate hours were spent on training in August.

A system for recording time spent on technical training is being developed.

### Equality & Diversity

E&D reporting is currently undergoing a detailed review and further developments will be made to this section in future reports.

This data now covers files closed over a 6 month period, rather than 1 month, as was previously the case. The Regulation Unit's investigative work (as opposed to applications) has been pooled with CAI's Conduct (CDT) and Redress Conduct (RDC) investigations.

Analysis is also being undertaken of solicitors who are subject to Section 12 of the Solicitors Act 1974.

Files closed in the last 6 months	Population of Practising Solicitors*	Subjects of Tribunal matters	Subjects of CDT, RDC & REG investigations
<b>ETHNICITY</b>			
Asian / Asian British	5%	12%	9%
Black / Black British	2%	6%	5%
Chinese / other Asian group	1%	1%	1%
Mixed / Unknown	14%	21%	15%
White / European	78%	60%	71%
<b>SEX</b>			
F	44%	17%	25%
M	56%	83%	75%
<b>AGE</b>			
30 or below	18%	2%	5%
31 - 40	35%	17%	24%
41 - 50	25%	30%	34%
51 - 60	16%	36%	27%
61 or over	5%	12%	9%
Unknown	1%	3%	1%

\* Population of practising solicitors as at 31 August 2007

Initial analysis in the area of gender has been undertaken for CDT, RDC and REG investigations. It was found that while 75% of the subjects of are male and 25% female, of those 2707 men under investigation, allegations were upheld against just 32% of them, which is in line with 30% of the 900 women under investigation also having allegations upheld against them. This early analysis indicates an apparent disproportionate impact on male solicitors arising at the front end of our regulatory process where intelligence is first received and processed. There are several factors that could contribute to this disproportionality including the source and nature of intelligence received, types of complaints we receive and the way in which we analyse risk, but further analysis will be required in this area.

## Appendix 2: Resources Budget Report

Direct Costs Summary for the seven months ending 31 August 2007

Account Description	Approved Budget £'000	YTD Budget £'000	YTD Actual £'000	YTD Variance £'000	Variance %
<b>Gross and Net Expenditure</b>					
<b>Gross Expenditure</b>	<b>30,679</b>	<b>18,485</b>	<b>16,592</b>	<b>1,893</b>	<b>10.24%</b>
Total Staff Expenditure	26,373	17,412	16,243	1,168	6.71%
Paybill	24,758	16,465	15,372	1,093	6.64%
Other Staff Costs	1,615	946	872	75	7.89%
Staff & Admin Recoveries	(11,716)	(7,744)	(5,888)	(1,856)	23.97%
Total Non-Staff Expenditure	16,023	8,818	6,236	2,582	29.28%
<b>Income</b>	<b>(6,030)</b>	<b>(4,776)</b>	<b>(5,918)</b>	<b>1,141</b>	<b>-23.90%</b>
<b>Net Expenditure</b>	<b>24,649</b>	<b>13,709</b>	<b>10,674</b>	<b>3,035</b>	<b>22.14%</b>
<b>Total Departmental Charge</b>	<b>24,649</b>	<b>13,709</b>	<b>10,674</b>	<b>3,035</b>	<b>22.14%</b>
<b>Breakdown of Net Expenditure by Business Area</b>					
Chief Executive's Office	1,696	1,021	500	521	51.07%
Information	963	187	(1,270)	1,457	780.50%
Standards	941	154	155	(1)	-0.55%
Regulation Response	4,358	2,823	2,537	286	10.13%
Investigation	5,731	3,767	3,594	172	4.57%
Legal	1,065	680	739	(59)	-8.61%
Client Protection	2,819	1,685	1,807	(122)	-7.27%
Resources	891	504	464	39	7.78%
Policy	3,676	2,426	1,805	621	25.61%
SRA Change Programme	2,510	463	343	120	25.88%
<b>Total SRA</b>	<b>24,649</b>	<b>13,709</b>	<b>10,674</b>	<b>3,035</b>	<b>22.14%</b>

NB: Budget centres are under review following the creation of new directorates within the SRA.

The underspend in the Information Directorate arises from a higher income than budgeted.

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

## Appendix 3: Headline Summary of SRA performance against LSCC strategic targets (April 2007 to March 2008)

For the plan year 2007/08, the LSCC requires reporting on the individual contributions of both the SRA and the LCS towards the overall targets. The headline performance shown here is the SRA contribution.

	Current month	Year to date	LSCC Target	Variance from target
<b>Strategic priority 1 : improving the speed with which complaints are handled</b>				
<b>Target T1 Number of live cases open for 12 months or more</b>				
	107	N/A	By 31 March 2008 no more than 65 RDC cases open	59 non-RDC (there are 48 RDC)
<b>Target T2 Cases closed within 3 months of receipt</b>				
<b>Within 3 months</b>	78%	76%	76%	0%
<b>Strategic priority 2 : improving the quality of complaints handling</b>				
<b>Target Q6: Percentage of referrals to the LSO that are upheld</b>				
	72%	82%	76%	6%

Performance against quality targets 1 to 5 is based on audit. This data is not yet available.

	Current month	Year to date	LSCC Target
<b>Strategic priority 3 : implementing the plan for complaints handling</b>			
<b>Target P1: The total budget to support the delivery of the plan.</b>			
<b>Target P1</b>	-12.7%	-12.7%	-5% to 0%
<b>Target P2: All resources to support the delivery of the plan</b>			
<b>Target P2</b>	-10.5%	-10.5%	-5% to 0%
<b>Target P3: The priority initiatives will be delivered to time and cost in accordance with the plan, meet all milestones declared in the plan and benefits realised.</b>			
<b>Target P3</b>	100%	100%	
<b>Target P4: Progress against the plan, targets and supporting KPIs, will be reported in line with the timescales agreed.</b>			
<b>Target P4</b>	100%	100%	

## Appendix 4: Glossary of terms

Terms used in this document:

<b>CAI</b>	Conduct Assessment & Investigation Unit
<b>CCS</b>	Consumer Complaints Service
<b>CDT</b>	Conduct complaint
<b>Compliance Directorate</b>	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
<b>Conduct and Service</b>	Normally referring to the work of CAI, but also ICT. This is the distinction made by the SRA between complaints of <i>poor service</i> , for which redress can be offered (handled by the LCS), and complaints of misconduct
<b>CRB</b>	Criminal Records Bureau
<b>CRO</b>	A service complaint
<b>Decisions</b>	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
<b>ENQ</b>	An enquiry or an initial request for details of the remuneration certificate process
<b>FTE</b>	“Full-time equivalent”, a measure of the number of staff. The budget FTE - actual FTE equals the number of vacancies
<b>KPI</b>	Key Performance Indicator
<b>Intervention</b>	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
<b>Inspections</b>	Term normally used in connection with Accounts Inspections by the Forensic Investigation department
<b>LCS</b>	Legal Complaints Service (formerly CCS)
<b>LSCC</b>	Legal Services Complaints Commissioner
<b>LSO</b>	Legal Services Ombudsman
<b>PC</b>	Practising Certificate
<b>PSU</b>	Practice Standards Unit
<b>QLTT</b>	Qualified Lawyers Transfer Test
<b>RCA</b>	Remuneration Certificate Application
<b>RDC</b>	Redress Conduct - conduct issues arising from a redress matter handled by the LCS.
<b>Regulatory</b>	In this report, refers to the work of the Regulation Unit
<b>REL</b>	Registered European Lawyer
<b>RFL</b>	Registered Foreign Lawyer
<b>SDT</b>	Solicitors Disciplinary Tribunal
<b>SRA</b>	Solicitors Regulatory Authority
<b>Throughput</b>	The volume of cases passing through the SRA from creation to completion
<b>Tribunal</b>	The independent Solicitors Disciplinary Tribunal (SDT)
<b>WIP</b>	Acronym for “Work In Progress”, cases not concluded during the month, carried over from one month to another

### 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	