



Solicitors  
**Regulation**  
Authority

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

December 2007

# Contents

<b>Headline Statistics</b>	Page 3
<b>Legal: SDT Decisions</b>	Page 4
<b>Legal: Prosecutions</b>	Page 5
<b>Inspection &amp; Investigation: Forensic Investigations</b>	Page 6
<b>Inspection &amp; Investigation: Practice Standards Unit</b>	Page 7
<b>Regulation Response: Regulatory Investigations</b>	Page 8
<b>Regulation Response: Conduct Investigation Unit</b>	Page 9
<b>Client Protection: Compensation Fund &amp; Interventions</b>	Page 10
<b>Information</b>	Page 11
<b>Regulation Standards: Ethics Guidance Service</b>	Page 12

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## Appendices

Appendix 1: <b>Resources:</b> HRD, Budget Report	Page 13
Appendix 2: Headline Summary of SRA Performance against LSCC Strategic Targets	Page 14
Appendix 3: Glossary of Terms	Page 15

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

## Headline Statistics for December 2007

- **Solicitors Disciplinary Tribunal** orders recorded by the SRA have increased by 16% year on year. There were 48 decisions to suspend solicitors from practice during 2007, a 50% increase on 2006 figures. Over a half of the suspensions made this year were for an indefinite period, with a further third of them for fixed periods of less than 1 year. ▶ *see page 4*
- The average age of **Tribunal Proceedings** issued this month has remained at the target timescale of 6 months. There are currently 212 matters in progress where proceedings have not yet been issued. ▶ *see page 5*
- **Forensic Investigations** continue to issue an increasing proportion of adverse reports. Last month, 71% of matters concluded had an adverse report, as compared with just 56% in November 2006. This is a major factor in the increase in **Regulatory Investigations** decisions to refer to the SDT which are up 28% year on year. ▶ *see page 6 and 8*
- The **Practice Standards Unit** identified significant areas of weakness or breaches of the rules in 26% of the visits made during 2007. 7% of visits resulted in formal referrals being made to other departments within the SRA. ▶ *see page 7*
- In the **Conduct Investigation Unit** there was a 33% increase in the number of files where allegations were upheld or referred to the SDT upon closure during 2007 as compared with files closed during 2006. ▶ *see page 9*
- Outstanding liability on the **Compensation Fund** stands at £14.0M, just 65% of the position 12 months ago. The number of outstanding applications is also falling, with a 12% reduction on last month. ▶ *see page 10*
- There were 2 **Interventions** effected in December, bringing the total for 2007 to 48, as compared with 50 effected during 2006. The proportion of these relating to suspected dishonesty has risen slightly from 28% last year to 31% for 2007 YTD. ▶ *see page 10*
- **Information Services** have seen an overall rise in call volumes of 13% year on year (an increase of over 63,000 calls received). Service levels on the telephone service remain low, but are increasing steadily as the benefit of recent recruitment is seen. 100% of written and email correspondence has been handled within service level consistently for the last 4 months. ▶ *see page 11*

## 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.

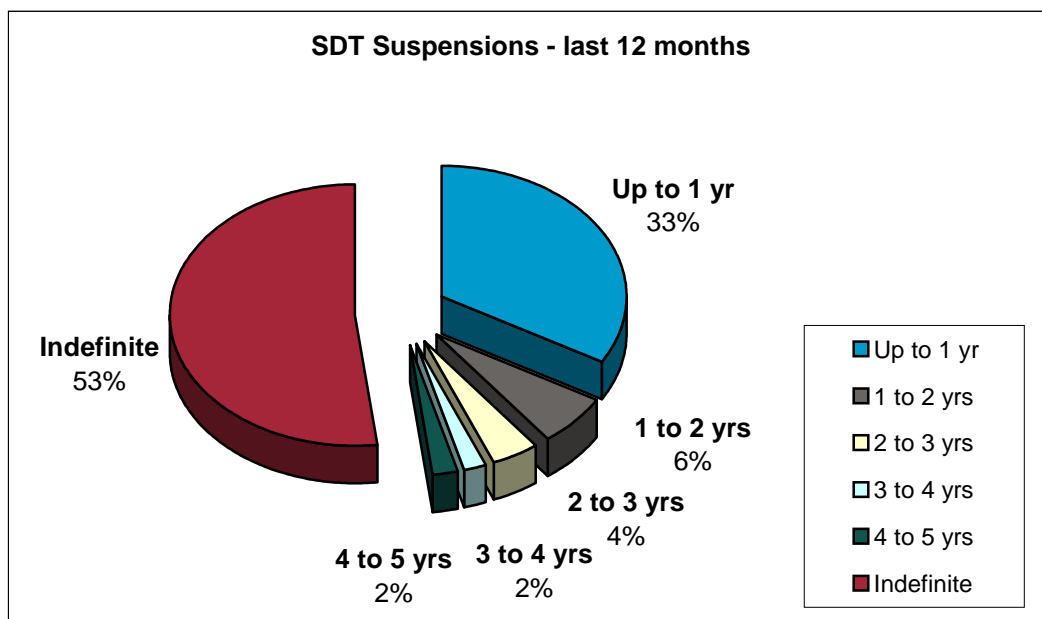
It should be noted that cases referred to the SDT are often a combination of matters, frequently originating in different Units, brought together into one application to the Tribunal by the Disciplinary Team.

SDT Orders	12 Months to		Variance	Monthly Average to Dec 07
	Dec 06	Dec 07		
Fined	76	96	+26%	8
Struck Off	66	70	+6%	6
Suspended	32	48	+50%	4
No Order	10	7	-30%	1
Other	63	65	+3%	5
<b>TOTAL</b>	<b>247</b>	<b>286</b>	<b>+16%</b>	<b>24</b>

This month the SDT made 18 orders on SRA matters, below the average over the last 12 months of 24, as shown above.

The proportion of both fines and suspensions has increased significantly year on year. A breakdown of the suspensions recorded in the last 12 months is shown below.

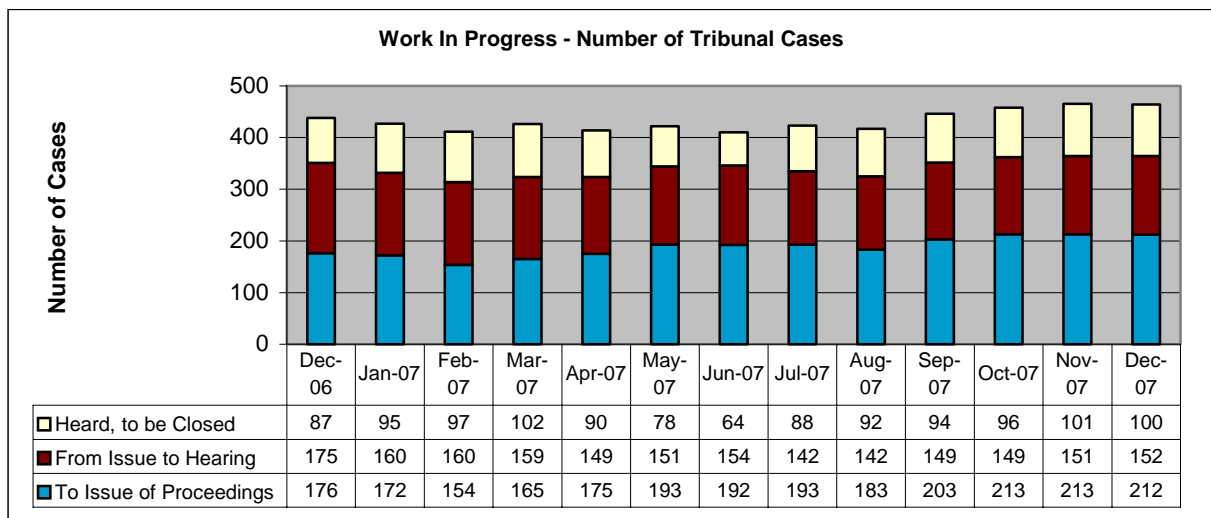
The majority are indefinite suspensions, with 70% of fixed-period suspensions lasting up to one year. The maximum suspension period issued in the last 12 months was 5 years, against an average of 1.5 years.



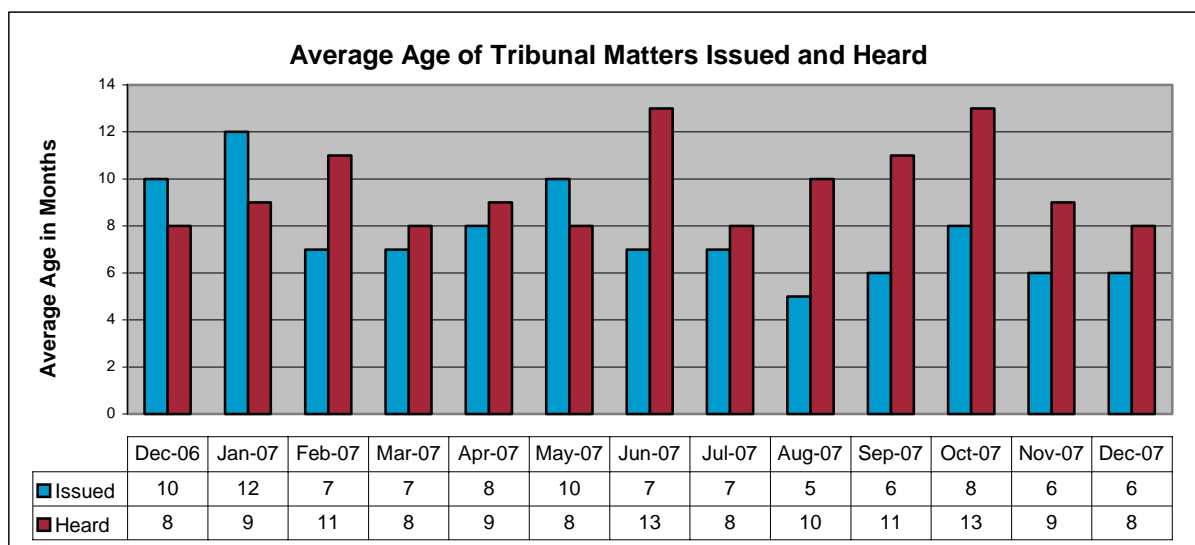
# Legal Prosecutions

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 Dec 06	To Dec 07	Variance	Monthly Average
New Cases	284	324	+14%	27
Closed Cases	230	302	+31%	25



The chart above refers specifically to Tribunal matters against solicitors (TRI matter types). There are also 27 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.

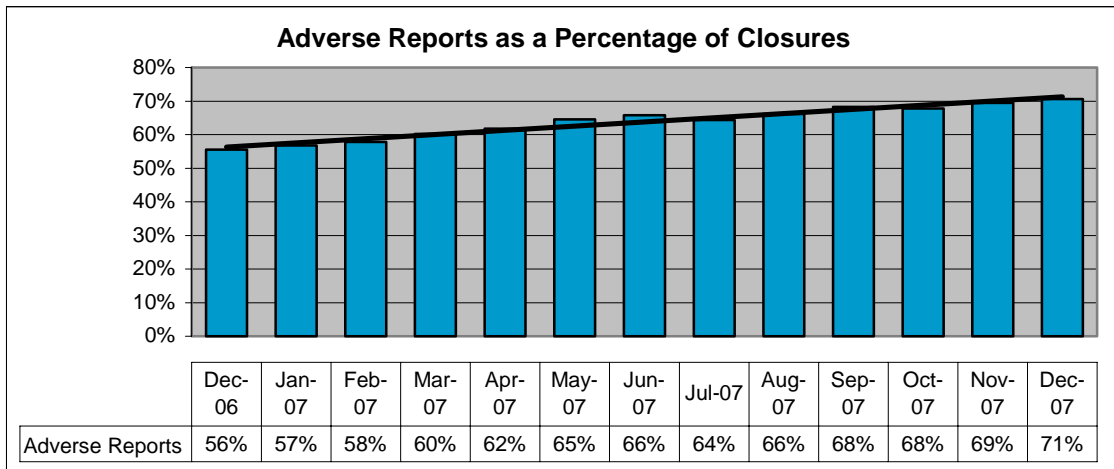


A new TRI matter is created when the decision is made to refer the matter to the SDT. The Disciplinary Team's target is to issue proceedings within 6 months of creation of that TRI matter. The SDT, in turn, aims to hear matters within 6 months of issue. Previous reporting measured the age at issue of 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

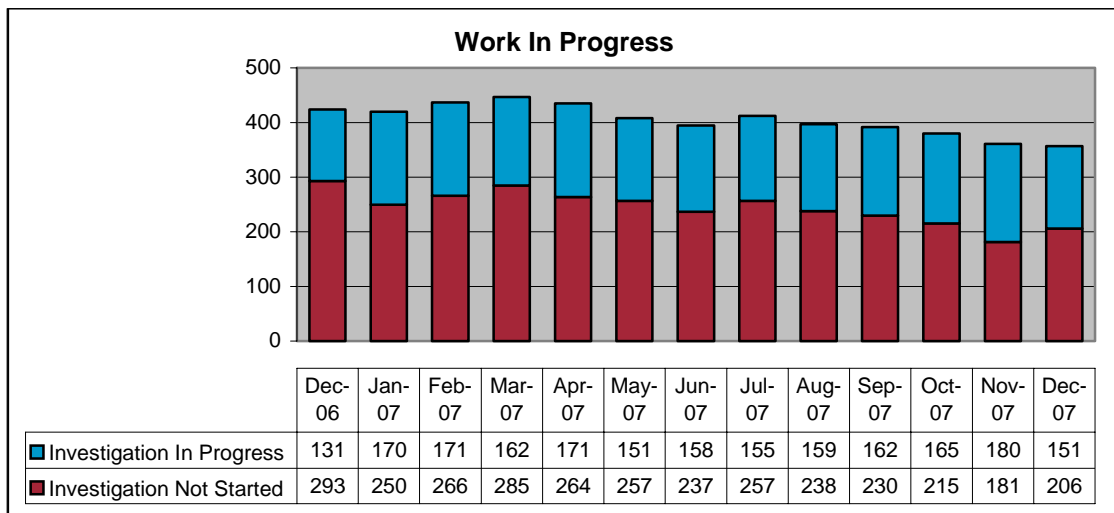
## Forensic Investigations

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.



Note: the graph above shows percentage figures covering the 12 months prior to each month shown.

Forensic Investigations	12 Months			
	To Dec 06	To Dec 07	Variance	Monthly Average
New Investigation Files Created	466	390	-16%	33
Closed or Rescinded	504	450	-11%	38



The proportion of adverse reports continues to increase, 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.

PERFORMANCE MEASURES YTD	To Dec-06	To Dec-07	To Dec-07 Target	Variance to Target
Full Risk Profiles Completed	948	1207	990	22%
Total Visits Completed	1088	944	1000	-6%
Client Care Seminars	22	10	10	0%

Total visits completed are 6% 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 for the year are up 22% due to a large number of low risk profiles being generated in geographically targeted areas in August and September in conjunction with the Field Pilot of the First Risk Assessment Programme.

Firms receiving a monitoring visit by PSU generate between 16% 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. There has been a sharp increase in complaints from August to November due to a large number of complaints received in the LCS relating to miners compensation issues.

### Visit Outcome Grades

Outcome Grade	Dec-06	Jan-07	Feb-07	Mar-07	Apr-07	May-07	Jun-07	Jul-07	Aug-07	Sep-07	Oct-07	Nov-07
<b>A</b>	2	5	4	4	3	7	5	3	9	20	9	13
<b>B</b>	15	60	52	34	30	27	51	60	41	68	68	43
<b>C</b>	9	20	15	11	14	18	19	14	19	26	13	19
<b>D</b>	3	2	2	2	4	3	1	1	6	4	5	3
<b>No Grade</b>	0	0	0	9	8	10	3	0	0	0	0	0
<b>Awaiting Grade</b>	0	0	0	0	0	0	0	0	0	0	1	23
<b>% Grade C or D *</b>	<b>41%</b>	<b>25%</b>	<b>23%</b>	<b>25%</b>	<b>35%</b>	<b>38%</b>	<b>26%</b>	<b>19%</b>	<b>33%</b>	<b>25%</b>	<b>19%</b>	<b>22%</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.

\* shown as a percentage of all graded visits

Following visits to firms, a visit outcome grading is allocated (for internal purposes), based on the findings and areas of weakness. Over the last 12 months, an average of 26.1% firms received a grade C or D, indicating that significant areas of weakness and/or breaches of the Practice Rules were identified.

### Internal Referrals Made

	Dec-06	Jan-07	Feb-07	Mar-07	Apr-07	May-07	Jun-07	Jul-07	Aug-07	Sep-07	Oct-07	Nov-07
<b>Formal Referrals</b>	4	2	7	3	5	4	7	5	8	7	6	4
as % of Visited Firms	14%	2%	10%	5%	8%	6%	9%	6%	11%	6%	6%	4%
<b>Intelligence Referrals</b>	3	4	8	4	7	1	5	0	6	3	6	5
as % of Visited Firms	10%	5%	11%	7%	12%	2%	6%	0%	8%	3%	6%	5%

As PSU makes site visits, it is well placed to judge whether firms should be formally referred to Regulation Response or Inspections & Investigations for disciplinary and/or regulatory 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 overall percentage in the last 12 months of those firms being formally referred is 6.7%.

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.

REGULATION MATTER DECISIONS IN THE LAST 12 MONTHS	To Dec 06	To Dec 07	Variance	Monthly Average to Dec 07
PC Conditions	1450	2006	+38%	167
Intervention	111	110	-1%	9
Referral for Disciplinary Proceedings	324	416	+28%	35
Vest Discretion	226	251	+11%	21
No Action	296	219	-26%	18
Accountants Reporting Issues	856	796	-7%	66
Finding/Warning/Rebuke/Reprimand	341	359	+5%	30
Other	325	297	-9%	25
Costs Directions	352	384	+9%	32
<b>TOTAL</b>	<b>3929</b>	<b>4454</b>	<b>+13%</b>	<b>371</b>

**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.

Although the table shows a significant increase in decisions relating to PC conditions, 37% of the additional decisions were in respect of 2 large multi-partner firms who failed to comply with the regulations in respect of delivery of accountants reports. A regulatory decision was required for each partner within those firms.

Outcome data is now available for the last 12 months rather than just 6 months as previously reported.

During 2007, RI finalised **2,514** applications and concluded **1,781** investigations.

Of those applications:

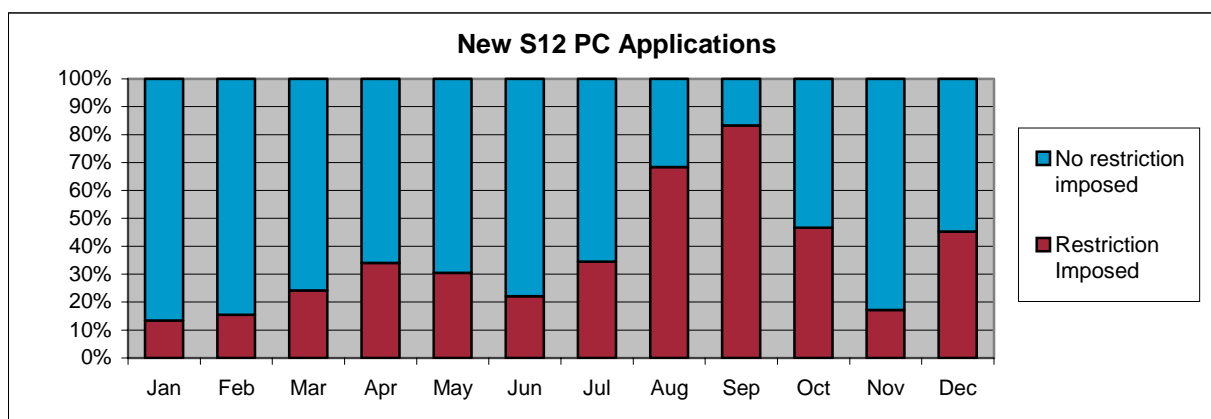
**882 (35%)** were new Section 12 applications (see graph below for more detail)

**602 (24%)** were existing Section 12 applications

**906 (36%)** were other types of application, such as applications for approval of employment under Section 41 and 43, and those relating to the delivery of Accountants' reports.

**(124 (5%))** applications were withdrawn)

The allegations under investigation were upheld in **814 (46%)** cases. **273 (15%)** resulted in a referral to the SDT. **469 (26%)** were not upheld. During 2007, 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 conversely decreasing. The percentage of files resulting in referrals to the SDT has remained reasonably steady through the year.



The chart above shows the outcome of all new Section 12 applications. Over the last 6 months, 33% have resulted in a restriction on practice. Although there was a high proportion of decisions to impose restrictions last month, the actual numbers of new section 12 applications handled in August and September were at annual low levels.

## Regulation Response Conduct Investigation Unit

The **Conduct Investigation Unit** (CIU, formerly known as the CAI Unit) 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 CIU to LCS on 1<sup>st</sup> June 2006. 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.

CIU Outcomes	12 Months			Monthly Average To Dec 07
	To Dec 06	To Dec 07	Variance	
<b>Not Upheld</b>	<b>4544</b>	<b>4154</b>	<b>-9%</b>	<b>346</b>
Excluded matters	815	449	-45%	37
Required no regulatory action	3599	3690	+3%	308
Conciliated (service)	130	15	-88%	1
<b>Upheld</b>	<b>598</b>	<b>675</b>	<b>+13%</b>	<b>56</b>
Letter of Advice	160	195	+22%	16
Formal decision made	438	480	+10%	40
<b>Referred to SDT</b>	<b>0</b>	<b>119</b>	<b>N/A</b>	<b>10</b>
<b>Other</b>	<b>6</b>	<b>15</b>	<b>+150%</b>	<b>1</b>
<b>TOTAL</b>	<b>5148</b>	<b>4963</b>	<b>-4%</b>	<b>414</b>

There has been a 22% 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 LCS in 2006.

Changes to the recording of investigative outcomes have meant that referrals to the SDT are now recorded as a distinct outcome; they used to be included under 'Upheld - Formal Decision Made' (see note below). Overall, there has been a 33% increase in the number of files where allegations were either upheld or were referred to the SDT on closure in the last 12 months, as compared with the 12 months to December 2006.

Details of current performance against LSCC targets can be found in Appendix 2 on page 14.

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

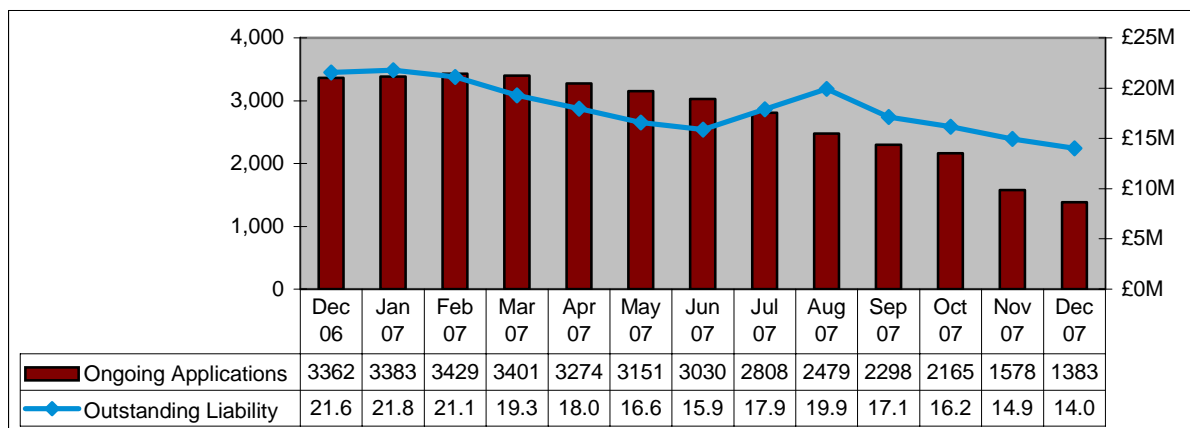
Amounts in £ million	2007 Year to Date	
	CLAIMED YTD	PAID YTD
Dec 07	<b>£14.5M</b>	<b>£10.5M</b>
Dec 06	£31.2M	£9.8M
Variation	-54%	7%

## Ongoing Claims

Amounts in £ million	VALUE OF OPEN CLAIMS	REJECTED	REVISED CLAIM *
<b>Dec 07</b>	<b>£18.8M</b>	<b>£0.1M</b>	<b>£19.3M</b>
Dec 06	£32.2M	£1.1M	£35.5M
Variation	-42%	-91%	-46%

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

## Outstanding Liability



The number of ongoing applications carried forward to 2008 at the end of December is just 41% of the number of claims open at the start of 2007.

Outstanding liability against the fund has fallen again this month, in line with the overall decreasing trend seen in the last 12 months.

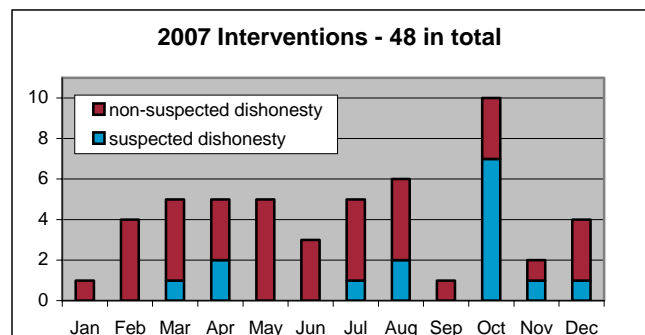
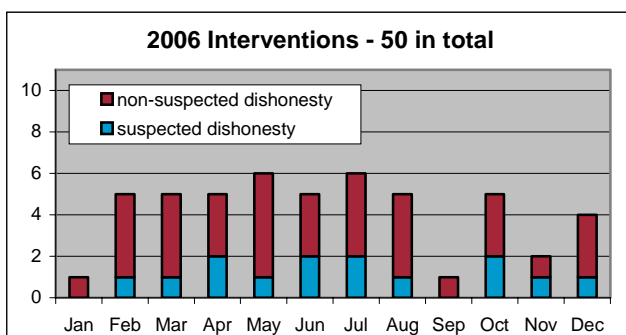
## Interventions

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.

There were 2 interventions effected this month, 1 of which was on the grounds of suspected dishonesty. Both were effected within target.

The average number of interventions taking place each month during both 2006 and 2007 was 4.2, although monthly levels were more steady during 2006. A higher proportion of 2007 interventions were on the grounds of suspected dishonesty: 31%, as compared with 28% in 2006.

The charts below show the volume of interventions, split by those effected on grounds of suspected dishonesty and other, during 2006 and 2007.

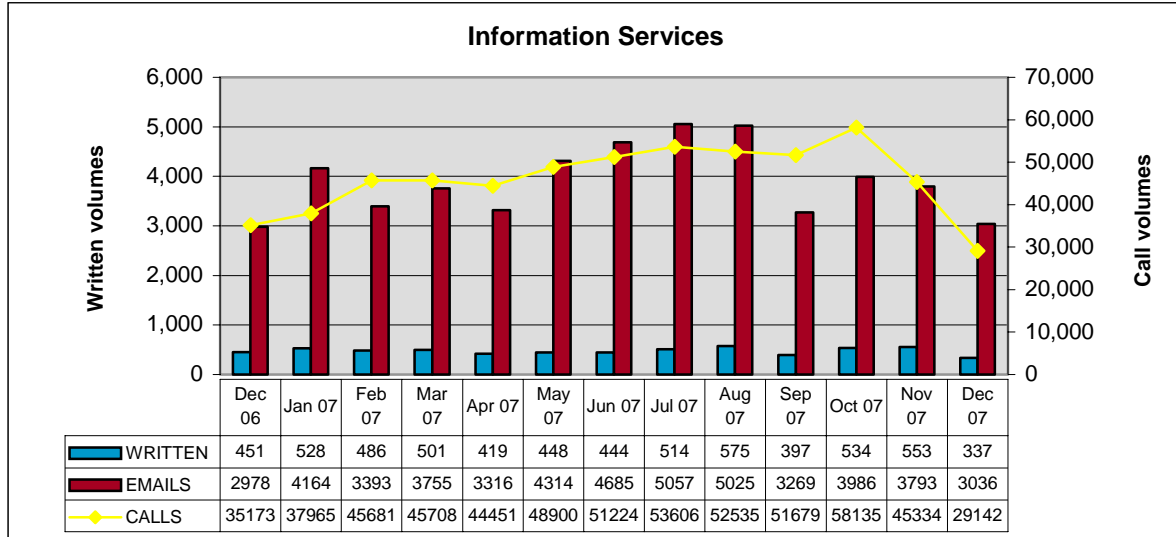


# Information

## Information Services

Call volumes dropped sharply last month, down to 64% of the volume seen in November - 83% of the number received in December 2006. Overall though there has been a 13% rise in calls received year on year (an increase of over 63,000 calls), while combined written and email volumes have fallen 2% over the same period.

For a fourth consecutive month, IS have consistently dealt with 100% of written and email correspondence within service targets. The service level for calls has increased again, with 49% of calls answered within 30 seconds last month, although this is still well below the target of 75% within 30 seconds.



## Registration Project Team

Although reminder letters were sent in November, firm PC renewal volumes have dropped off significantly this month. Of the 13700 forms sent out in September, 63% have now been received back again and processed, an increase of only 2% on November's figure. Individual PC renewal levels have tailed off less sharply, with 63% of the 11888 individual PC renewal forms received and processed.

## Customer Applications Team

Volumes of training contract registrations have increased 6% this year on 2006, with an average of 273 registrations a month being completed during 2007.

QLTT applications have also increased, with a 5% rise from the 2199 applications received last year to 2307 during 2007. Admission levels, however, have remained steady year on year.

## Professional Competence Team

The PCT handle applications for accreditation scheme or panel membership, as well as more complex applications or those with potential character & suitability (C&S) issues referred internally to the team.

During 2007, 803 decisions have been made regarding the Training Regulations and Qualified Lawyers' Transfer Regulations. 45% of these applications featured C&S issues.

The C&S cases relate either to checks done as part of the enrolment process, or to issues arising post-enrolment ('Misbehaviour'). The following table shows the results of 2007 C&S cases.

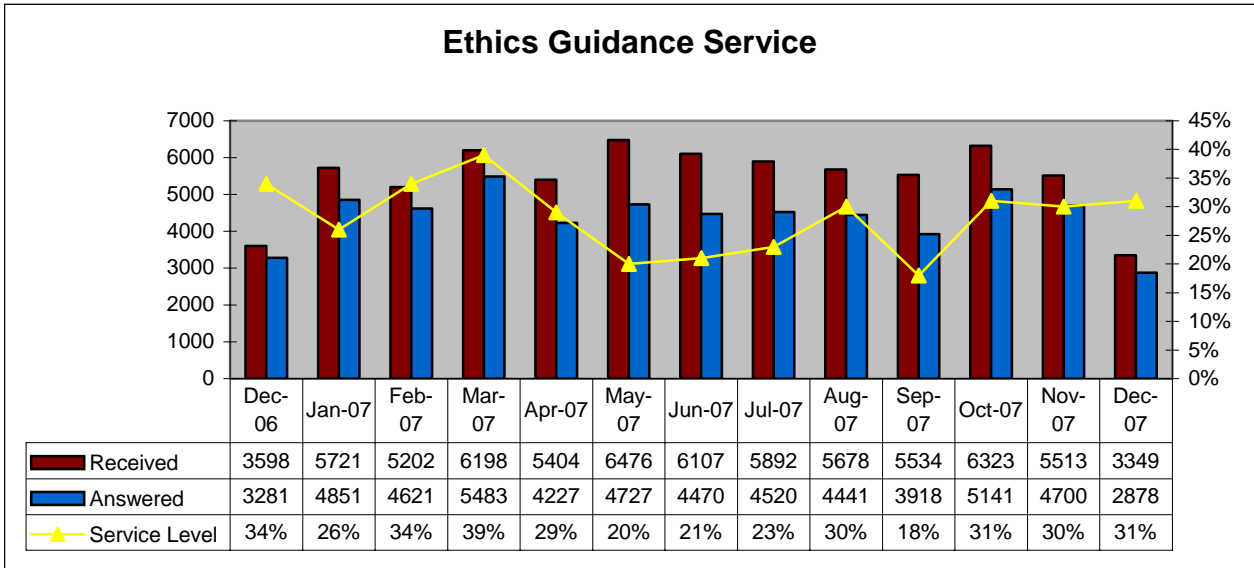
Character & Suitability	Granted	Refused	Other *
Enrolment	82%	14%	4%
Misbehaviour	73%	23%	5%

\* 'Other' refers to cases that were either deferred or amended on appeal.

There have also been 254 applications under the QLTT process referred to PCT by Customer Applications. 22% relate to Barristers qualified in England, 9% relate to European Community Lawyers, 2% to Specialist Practitioners and 68% to other Overseas Solicitors. 27% of those where a decision has been reached were granted in full, with a further 44% granted in part or with conditions.

# 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 30 seconds.

There was a 39% decrease in calls in December 2007 compared to the previous month.

The abandoned rate and average response time have both improved and the overall percentage of calls answered within 30 seconds was 31%. This was just above the average service level provided over 2007 of 28%. The abandoned rate is at just 14% - the lowest level we have seen since April 2007.

We are continuing to train advisers who are spending more time on the phones. In line with previous years, December has been a quiet month but this was anticipated as it has been the case in previous years.

## Appendix 1: Resources HRD, Budget Report

### Monthly HRD Update

- As at 31st December 2007, the FTE for the SRA was 513.93 with 83.33 vacancies.  
(There are 8.5 fixed-term temps and 49.50 FTE agency and contractors sitting against those vacancies).
- The budget FTE is 597.26.
- 41 delegate days were spent on training in December

### Budget Report

The data below shows the direct costs summary for the year ending December 2007.

Account Description , £'000	Approved Budget	YTD Budget	YTD Actual	YTD Variance	Variance %
<b>Gross and Net Expenditure</b>					
<b>Gross Expenditure</b>	<b>30,630</b>	<b>30,630</b>	<b>29,500</b>	<b>1,130</b>	<b>3.69%</b>
Total Staff Expenditure	26,388	26,388	25,314	1,074	4.07%
Paybill	24,763	24,763	23,690	1,074	4.34%
Other Staff Costs	1,625	1,625	1,625	0	0.00%
Staff & Admin Recoveries	(11,782)	(11,782)	(8,919)	(2,863)	24.30%
Total Non-Staff Expenditure	16,023	16,023	13,104	2,919	18.22%
<b>INCOME</b>	<b>(6,030)</b>	<b>(6,030)</b>	<b>(8,345)</b>	<b>2,315</b>	<b>-38.40%</b>
<b>Net Expenditure</b>	<b>24,600</b>	<b>24,600</b>	<b>21,154</b>	<b>3,445</b>	<b>14.01%</b>
<b>Total Departmental Charge</b>	<b>24,600</b>	<b>24,600</b>	<b>21,154</b>	<b>3,445</b>	<b>14.01%</b>
<b>Breakdown of Net Expenditure by Business Area</b>					
Chief Executive's Office	1,646	1,646	1,314	332	20.17%
Information	963	963	85	878	91.13%
Standards	941	941	(325)	1,266	134.58%
Regulation Response	4,373	4,373	3,981	392	8.96%
Investigation	5,731	5,731	5,578	152	2.66%
Legal	1,065	1,065	1,312	(247)	-23.15%
Client Protection	2,819	2,819	4,601	(1,782)	-63.22%
Resources	826	826	934	(108)	-13.09%
Policy	3,726	3,726	2,796	930	24.96%
SRA Change Programme	2,510	2,510	878	1,632	65.01%
<b>Total SRA</b>	<b>24,600</b>	<b>24,600</b>	<b>21,154</b>	<b>3,445</b>	<b>14.01%</b>

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 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>				
	81	N/A	By 31 March 2008 no more than 65 RDC cases open	29
<b>Target T2 Cases closed within 3 months of receipt</b>				
<b>Within 3 months</b>	83%	77%	76%	1%
<b>Strategic priority 2 : improving the quality of complaints handling</b>				
<b>Target Q6: Percentage of referrals to the LSO that are upheld</b>				
	67%	79%	76%	3%

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>	-9.1%	-9.1%	-5% to 0%
<b>Target P2: All resources to support the delivery of the plan</b>			
<b>Target P2</b>	-7.5%	-7.5%	-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 3: Glossary of terms

Terms used in this document:

<b>CAI</b>	Conduct Assessment & Investigation Unit, old name for CIU
<b>CCS</b>	Consumer Complaints Service (now the LCS - see below)
<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 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
<b>CRB</b>	Criminal Records Bureau
<b>CRO</b>	A complaint about inadequate professional service
<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>FTE</b>	“Full-time equivalent”, a measure of the number of staff. The budget FTE - actual FTE equals the number of vacancies
<b>HRD</b>	Human Resources & Development
<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>KPI</b>	Key Performance Indicator
<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 Regulatory Investigations
<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