



Solicitors  
**Regulation**  
Authority

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

March 2007

# Contents

<b>Headline statistics</b>	<b>Page 3</b>
<b>SDT decisions</b>	<b>Page 4</b>
<b>Prosecutions</b>	<b>Page 5</b>
<b>Forensic Investigations: Outcomes</b>	<b>Page 6</b>
<b>Regulation Unit: Outcomes</b>	<b>Page 7</b>
<b>CAI: Outcomes</b>	<b>Page 8</b>
<b>Compensation Fund</b>	<b>Page 9</b>
<b>Practice Standards Unit: Outcomes</b>	<b>Page 10</b>
<b>Registration Department and Professional Competence Team</b>	<b>Page 11</b>
<b>Ethics Guidance Service</b>	<b>Page 12</b>
Appendix 1: Compliance Directorate HR and E&D data	Page 13
Appendix 2: Budget report	Page 14
Appendix 3: Headline summary of performance against LSCC strategic targets– CCS and CAI	Page 15
Appendix 4: Glossary of terms	Page 16

## Headline Statistics

- The number of decisions made by the SDT continues to increase. The total for the past 12 months is up 26% on the previous 12 month period, as the number of cases waiting to be heard is reduced.
- Of Tribunal matters heard in March, 33% had been issued less than 6 months before, and 95% less than 12 months before. One complex S43 application heard in March was started in 2004 pushing up the average age at issue to 8 months. Without this exceptional case the average age from issue to hearing would have been 7 months.
- 52 matters closed in March resulted in referral to the SDT, compared to 30 in February. As a consequence of improvements in data recording introduced in December this information can be determined for individual cases, rather than being extracted from the decision data where multiple decisions can be misleading. Trend data will be collated to inform future reporting.
- The number of Interventions year on year has been declining, with only 46 in the year to March 2007, compared to 55 to March 2006. However, 28% of Interventions in the year to March 2007 involved suspicions of dishonesty, compared to only 15% of those in 2006.
- Outstanding Liability against the Compensation Fund is currently £19.2 million. This has been declining steadily since a peak in August 2006 of £30.8 million, although there has been little change in the volume of outstanding applications since November.
- There is a continuing upward trend in the percentage of Forensic Investigations resulting in reports. In the year to March 2007 adverse reports were issued in 60% of cases, compared to 54% in the year to March 2006.
- PSU in the majority of cases close their files after a minimum of 2 reviews over a 12 month period unless the firm closes or is intervened within that time. This 12 month period allows for firms to establish new systems to ensure compliance and any early problems to be identified in the review process. Over the last 12 months there has been a positive trend, with 92% of files having been closed with either Improvement or No Further Action.
- The Ethics Guidance Service saw a 19% increase in both calls received and calls answered in March 07 compared to Feb 07. Even given this considerable increase in volumes the abandoned rate has been kept stable and service level has improved. This has been achieved by changes to some work processes and making most effective use of resource across the whole of the team.
- The service level in Information Services is currently at 66% against a target of 80% of calls answered within 30 seconds. Call volumes have been increasing over the past 12 months, as has the number of written enquiries. Permanent recruitment has been approved to fill existing vacancies.

## 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 off a solicitor from the Roll, suspend a solicitor from practicing and apply fines and reprimands.

Orders made by the SDT are recorded 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 to the SDT are often a combination of matters, frequently originating in different Units, brought together into one application to the Tribunal by the Intervention & Disciplinary Unit (IDU).

	12 Months to			
	Mar-06	Mar-07	Variance	Monthly Average '06
Fined	73	90	+23%	8
Struck Off	62	74	+19%	6
Suspended	42	37	-12%	3
No Order	5	11	+120%	1
Other	41	70	+71%	6
<b>TOTAL</b>	<b>223</b>	<b>282</b>	<b>+26%</b>	<b>24</b>

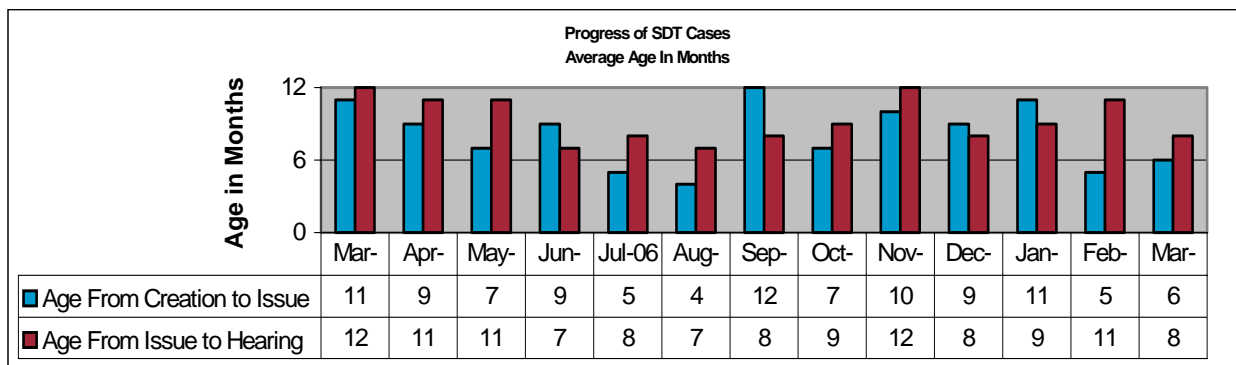
The number of decisions being made by the Tribunal continues to increase. This is due in part to an increase in the number of matters heard during the year. Whilst there has not been any significant increase in the number of referrals, the SDT has taken on additional resources during the year to March 2007 to facilitate additional hearing days.

The chart on the following page shows that, following a peak in October 2006, the number of cases awaiting hearing is now gradually being reduced.

# Prosecutions and Interventions

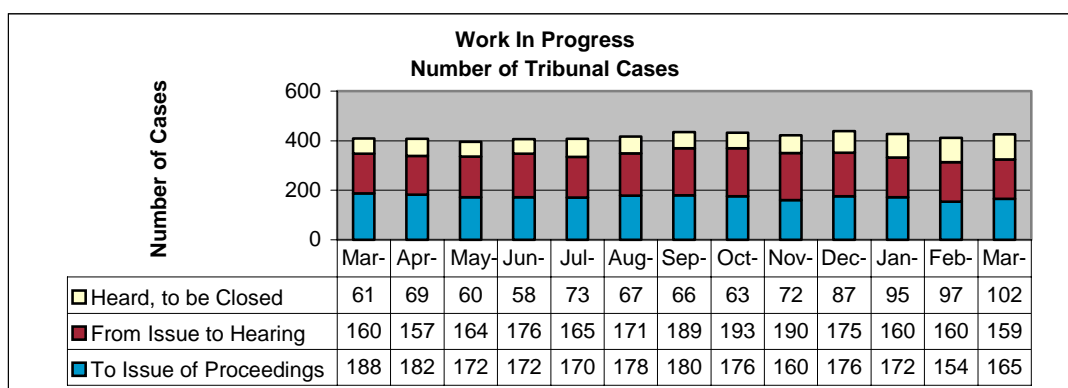
The **Intervention & Disciplinary Unit (IDU)** undertakes a number of important regulatory functions. These include conducting interventions into solicitors' practices, the prosecution of solicitors before the Solicitors' Disciplinary Tribunal (SDT), the conduct of litigation in respect of the exercise of the Society's regulatory powers, recovery of client papers under paragraph 3 of Schedule 1 or section 44B of the Solicitors Act 1974 and the recovery of costs associated with the activities above.

SDT Cases	12 Months			
	To Mar-06	To Mar-07	Variance	Monthly Average
New Cases	296	288	-3%	24
Closed Cases	294	264	-10%	22



Of those cases heard in March the average age from creation to issue of proceedings was within 6 months. One complex S43 application heard in March was started in 2004. Without this exceptional case the average age from issue to hearing would have been 7 months. 62% of matters heard this month had been issued within 6 months. For the 12 months to March 2007 the figure is 61%, compared to 59% for the previous 12 months.

IDU's target is to issue proceedings within 6 months of creation of the matter. The SDT aims to hear matters within 6 months of proceedings being issued by the Law Society.



The chart above refers specifically to Tribunal matters against solicitors (TRI matter types). There are also 23 section 43 applications in progress with IDU. 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.

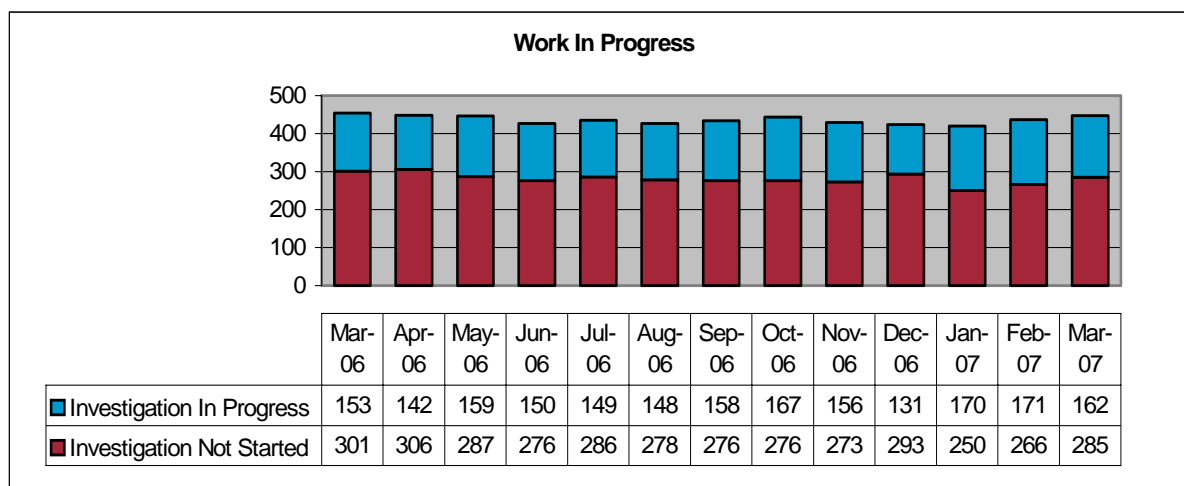
3 interventions were effected in March, 1 on the grounds of suspected dishonesty. All were effected within the target.

## Forensic Investigations: Outcomes

Forensic Investigations (FI) carries out targeted investigations of firms following the risk assessment of referrals from within Compliance, PSU and casework units. FI Investigators visit firms and adduce evidence of the misuse of client money, serious misconduct or malpractice, dishonesty, fraud, money laundering etc.

Outcomes	12 Months			
	To Mar-06	To Mar-07	Variance	Monthly
Adverse Reports	248	269	8%	22
Adverse Reports as a % of Closures	54%	60%	+12%	0
On-site Closures	213	178	-16%	15
On-site Closures as a % of all Closures	46%	40%	-14%	0
Rescinded/No Investigation Required	32	46	44%	4

	12 Months			
	To Mar-06	To Mar-07	Variance	Monthly Average
New Investigation Files Created	510	493	-3%	41
Closed or Rescinded	493	493	+0%	41



The number of Inspections authorised year on year has declined, partly reflecting a trend to more complex, as well as more targeted investigations. Considerable resource has been committed in respect of Miners cases, mortgage fraud and the threat posed by money laundering. The rising overall trend in the proportion of adverse reports continues, as a result of more targeted investigations.

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 Compliance responsible for enforcement actions.

## Regulation Unit: Outcomes

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. 15%) are generated from information received from the public.

REGULATION MATTERS - DECISIONS	12 Months			
	To Mar-06	To Mar-07	Variance	Monthly Average To Mar-07
PC Conditions	1116	1852	+66%	154
Intervention	118	95	-19%	8
Referral for Disciplinary Proceedings	351	321	-9%	27
Vest Discretion	260	224	-14%	19
No Action	456	254	-44%	21
Other	1915	1950	+2%	163
<b>TOTAL</b>	<b>4216</b>	<b>4696</b>	<b>+11%</b>	<b>391</b>

Although there has been a significant increase in decisions relating to PC conditions in the 12 months to February 2007, approximately one third 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 Law Society can exercise discretion in respect of the Practising Certificate of each partner within those firms, and a Regulatory decision was required for each one.

The table above provides an analysis of the types of decision with most regulatory impact for all Regulation matters dealt with by ICT and Regulation units. It shows the number of individual decisions made and recorded during the reported period. It should be noted that, for example, 26 decisions to take disciplinary proceedings does not equate to 26 new cases to be submitted to the SDT. There can be several heads of complaint and a decision is recorded for each one. Likewise, there can be more than one subject solicitor and decisions are recorded for each individual. A matter having 3 separate heads of complaint involving 2 partners of a firm could therefore expect to have 6 decisions. Whether one or all of those decisions were referral for disciplinary proceedings, there would be only one file opened in IDU. The same applies to interventions where multiple decisions will only result in one intervention.

## CAI: Outcomes

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 Mar-06	To Mar-07	Variance	Monthly Average To Mar-07
<b>Not Upheld</b>	<b>5498</b>	<b>4343</b>	<b>-21%</b>	<b>362</b>
Excluded matters	1088	612	-44%	51
Required no regulatory action	4115	3652	-11%	304
Conciliated (service )	295	79	-73%	7
<b>Upheld</b>	<b>588</b>	<b>624</b>	<b>+6%</b>	<b>52</b>
Letter of Advice	117	177	+51%	15
Formal decision made	471	447	-5%	37
<b>Referred to SDT</b>	<b>N/A</b>	<b>32</b>	<b>N/A</b>	<b>11*</b>
<b>Other</b>	<b>10</b>	<b>9</b>	<b>-10%</b>	<b>1</b>
<b>TOTAL</b>	<b>6096</b>	<b>5008</b>	<b>-18%</b>	<b>417</b>

\*Monthly average based on January '07 to date

There has been a 51% 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.

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

## Compensation Fund: Throughput of applications

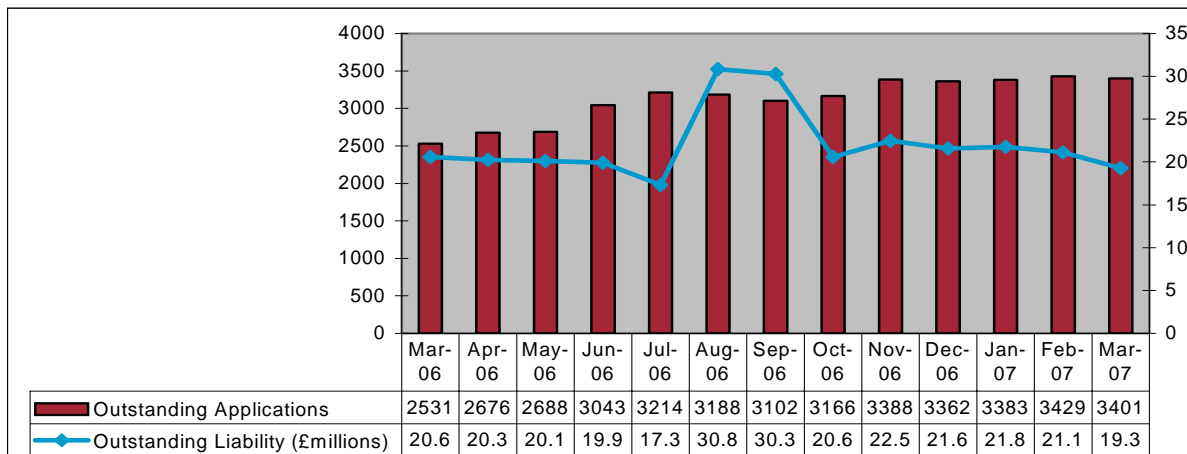
The **Compensation Fund** deals with and investigates applications for payments from the Fund from people who have suffered financial loss due to a solicitor's dishonesty or failure to account for monies received. The Unit can award funds to Applicants up to a delegated limit; an Adjudicator Decision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

### Claims and payments

	Value of Claims Received in 2006 (in £ millions)	Total Paid in 2006 (in £ millions)	Total Paid on 2006 Claims (in £ millions)	Total Paid in 2006 on Pre-06 Claims (in £ millions)	2006 Payments as % of 2006 Claims	% Paid in 2006 on Pre-06 Claims
2006	£31.2	£9.8	£4.0	£5.7	13%	59%

	Value of Claims Received in 2007 (in £ millions)	Total Paid in 2007 (in £ millions)	Total Paid on 2007 Claims (in £ millions)	Total Paid in 2007 on Pre-07 Claims (in £ millions)	2007 Payments as % of 2007 Claims	% Paid in 2007 on Pre-07 Claims
2007	£3.2	£2.2	£0.9	£1.3	28%	59%

### Outstanding Liability



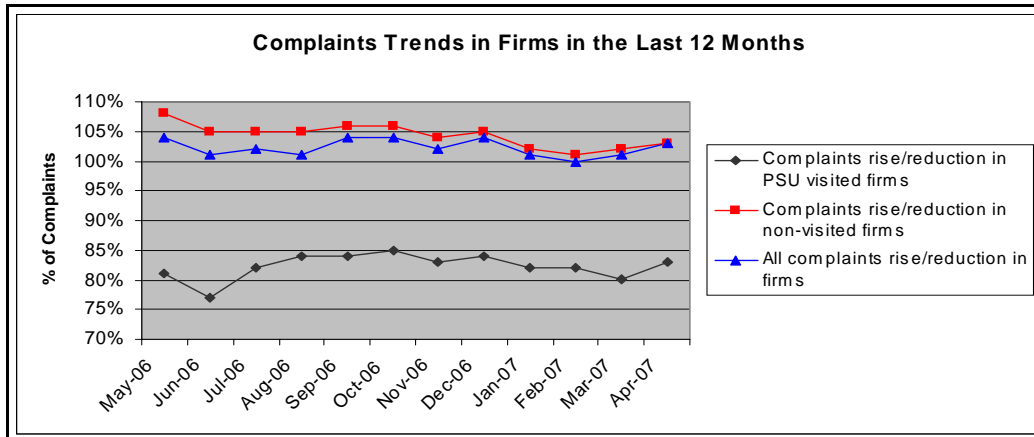
Following a sustained and steady increase over the twelve months prior to November 2007, there has been little or no change in the volume of outstanding applications for the past five months.

Consumer claims continue to be prioritised. In the 12 months to March 2007, 61% of applications by private individuals have been completed within 6 months, and 77% within 12 months. This compares to the overall rate of 41% closed within 6 months and 66% within 12.

Outstanding liability against the fund continues to decline.

## Practice Standards Unit: Outcomes

The **Practice Standards Unit (PSU)** aims to improve standards of practice in the profession through the promotion of client care and practice excellence. This is achieved through a programme of 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 Law Society'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



The purpose of the graph above is to show the impact that PSU has on the firms visited complaints history and to analyse the extent to which firms have improved compared to non visited firms. Each month on the graph denotes when the analysis was completed and represents visits undertaken in the 18 months prior to the analysis month. Each point on the graph represents a comparison of complaints received in the 6 months prior to visits compared to the complaints received in an equivalent 6 month period after.

The graph shows that firms receiving a monitoring visit by PSU generate between 15% and 23% less complaints than prior to a visit. Firms that have not received a monitoring visit generate between 1% and 8% more complaints in the same analysis period.

Visit Outcome Grade	Mar-06	Apr-06	May-06	Jun-06	Jul-06	Aug-06	Sep-06	Oct-06	Nov-06	Dec-06	Jan-07	Feb-07
<b>A</b>	8	4	7	7	4	10	7	6	11	2	5	4
<b>B</b>	69	60	54	63	61	54	53	66	50	15	57	45
<b>C</b>	31	30	21	13	22	26	30	29	26	8	20	14
<b>D</b>	7	6	8	3	2	6	4	7	3	3	2	0
<b>Awaiting Grade</b>	0	0	0	0	0	0	0	0	0	0	5	9
<b>% Grade C or D</b>	33%	36%	32%	19%	27%	33%	36%	33%	32%	39%	25%	19%

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.

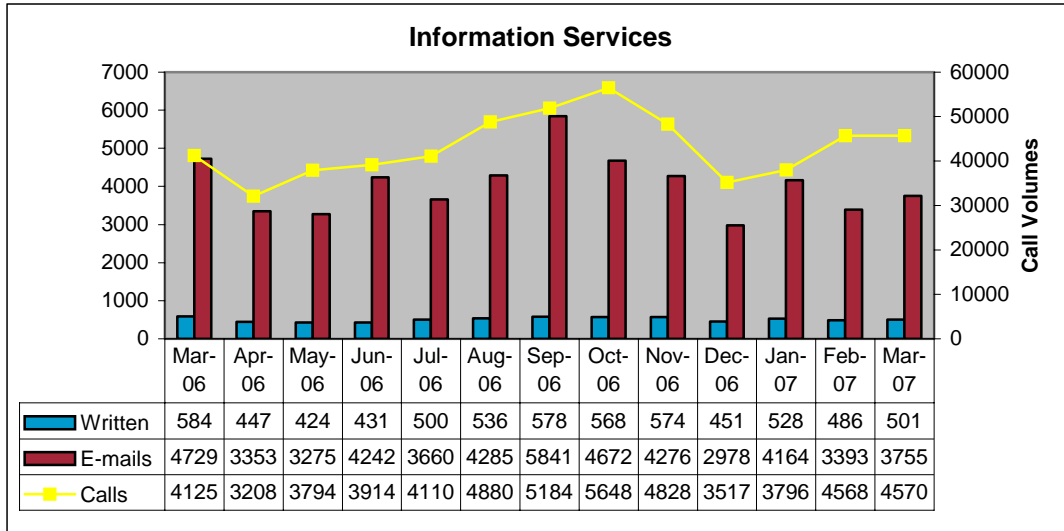
Following visits to firms, a visit outcome grading for internal purposes only is made by the Practice Standards Advisers based on the findings and areas of weakness.

No. of Visited Firms in which Referrals Have Been Made to Other Units												
	Mar-06	Apr-06	May-06	Jun-06	Jul-06	Aug-06	Sep-06	Oct-06	Nov-06	Dec-06	Jan-07	Feb-07
<b>Formal Referrals</b>	8	9	2	2	4	7	5	6	3	4	4	7
<b>as % of Visited Firms</b>	7%	9%	2%	2%	4%	7%	5%	6%	3%	14%	4%	10%
<b>Intelligence Referrals</b>	8	11	5	9	4	8	8	10	9	3	3	5
<b>as % of Visited Firms</b>	7%	11%	6%	10%	4%	8%	9%	9%	10%	11%	3%	7%

PSU visits are neither investigative nor disciplinary in nature. However, because the Unit is making site visits, it is well placed to judge whether firms should be formally referred 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 refer intelligence on issues which may not require disciplinary action but of which Regulation Response need to be aware. The average percentage in the last 12 months of those firms being formally referred is 5.8%.

# Registration Department and Professional Competence Team (PCT)

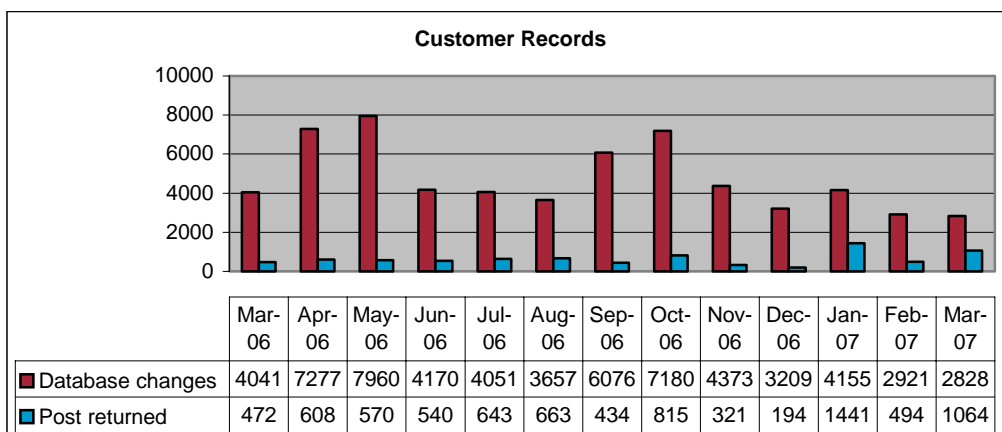
Information Services is the contact centre for the SRA and deal with written and telephone enquiries from regulated individuals, members of the public and lending institutes.



Information Services aim to answer 80% of calls within 30 seconds. This service level is currently 66% (February 2007 49% and March 2006 74%). The business case to permanently recruit 16.5 FTE has been approved which will fully resource the team. At the end of March there were 16.25 vacancies of which 7 posts are filled with temporary resource, 1 person on maternity leave and 1 person seconded. An 11 week intensive training programme commenced in March to fully skill those newer members of the team. It takes at least 6 months for a new member of the team to be fully effective.

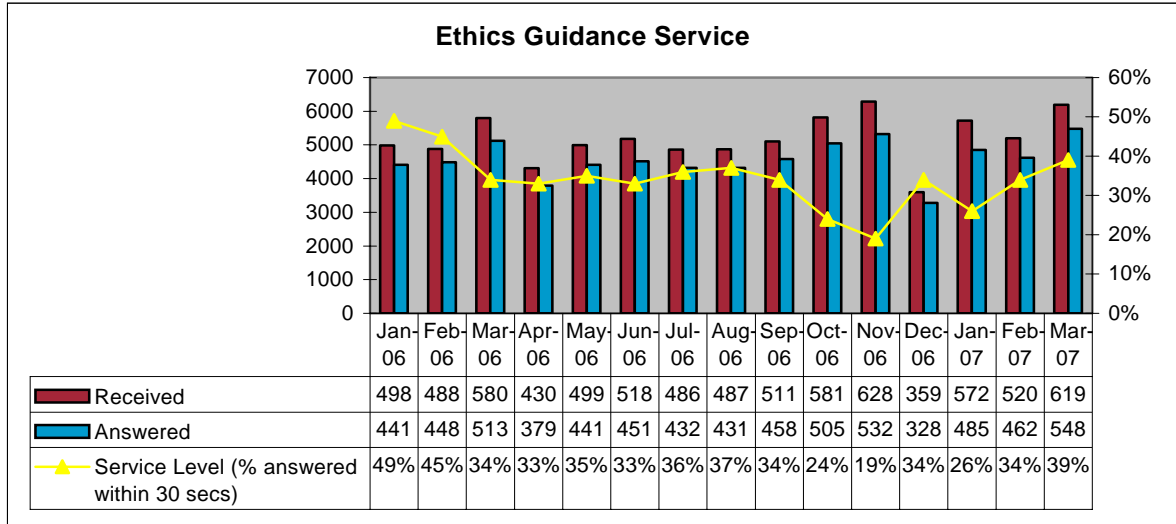
The Registration Project Team deals with processing application forms that have a yearly cycle of despatch. The annual renewal of the practising certificates, student enrolment/re-enrolment and the retention of names on the roll for any non-practising solicitor are the main projects. Both Solicitor annual renewal & student initial enrolment forms are currently being processed.

The Customer Records Team ensures that the corporate database is kept up to date with any amendments like address changes, movement of the solicitors within organisations and setting up new organisations. They also provide support to the more complex organisations. The chart below shows the seasonal peaks following student enrolment and PC renewals.



# Regulation Standards

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



March 07 saw a 19% increase in both calls received and calls answered compared to Feb 07. Even given this considerable increase in volumes we have been able to maintain our abandoned rate and actually improve our service level. This has been achieved by changes to some work processes and making most effective use of resource across the whole of the team.

The peak in November is directly connected to the practising certificate renewal exercise which impacts all solicitors and brings a similar peak across many part of the organisation.

Data in relation to Training Contracts and Validation and Monitoring will be included in next month's report.

## Appendix 1: Compliance Directorate: HR and E&D data

### Monthly HR Update

- As at 31/03/2007 the FTE for the Compliance directorate was 359 with 68 vacancies
- The budget FTE is 356

These figures are noted from the 2007 Business Plan and are provisional. Because these relate to the former Compliance Directorate, they will be subject to change as the budgets are aligned with the new SRA structure.

- 17 days were spent on training in March.

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

### Monthly E & D Update

Subject individuals of Regulation and Tribunal matters closed in March 2007 compared with the overall population of solicitors.

	Population	Regulation/Tribunal Matters
Asian/Asian British	5%	9%
Black or black British	2%	4%
Chinese or other Asian group	1%	1%
Mixed or unknown	14%	16%
White/European	78%	70%
F	43%	21%
M	57%	79%
30 or below	19%	2%
31 - 40	35%	25%
41 - 50	25%	30%
51 - 60	16%	30%
61 or over	5%	10%
Unknown	1%	1%

## Appendix 2: Budget report

### Regulation Compliance

Account Description	Approved Budget £'000	YTD Budget £'000	YTD Actual £'000	YTD Variance £'000	Variance %
Paybill	15,056	3,764	3,645	119	3.16%
Other Staff Costs	919	230	361	(131)	-57.09%
<b>Total Staff Expenditure</b>	<b>15,976</b>	<b>3,994</b>	<b>4,006</b>	<b>(12)</b>	<b>-0.31%</b>
Staff & Admin Recoveries	(11,916)	(2,979)	(2,338)	(641)	21.53%
<b>Total Non-Staff Expenditure</b>	<b>10,026</b>	<b>2,138</b>	<b>1,205</b>	<b>933</b>	<b>43.63%</b>
<b>Gross Expenditure</b>	<b>14,085</b>	<b>3,153</b>	<b>2,874</b>	<b>279</b>	<b>8.85%</b>
INCOME	(200)	(50)	(131)	81	-161.22%
<b>Net Expenditure</b>	<b>13,885</b>	<b>3,103</b>	<b>2,743</b>	<b>360</b>	<b>11.59%</b>
<b>Total Departmental Charge</b>	<b>13,885</b>	<b>3,103</b>	<b>2,743</b>	<b>360</b>	<b>11.59%</b>
Compliance Director's Office	2,508	605	764	(159)	-26.37%
Regulation Board	1,515	355	202	153	43.03%
Intervention & Disciplinary Unit	8,546	1,861	1,342	520	27.92%
Regulation Casework	3,992	982	727	255	25.94%
Comp. Fund / STA / Adjudication	(2,676)	(700)	(292)	(408)	58.27%
<b>Total Directorate</b>	<b>13,885</b>	<b>3,103</b>	<b>2,743</b>	<b>360</b>	<b>11.59%</b>

### Regulation Standards

Account Description	Approved Budget £'000	YTD Budget £'000	YTD Actual £'000	YTD Variance £'000	Variance %
Paybill	8,102	2,026	2,147	(122)	-6.01%
Other Staff Costs	589	147	109	38	25.70%
<b>Total Staff Expenditure</b>	<b>8,691</b>	<b>2,173</b>	<b>2,257</b>	<b>(84)</b>	<b>-3.86%</b>
Staff & Admin Recoveries	(100)	(25)		(25)	100.00%
<b>Total Non-Staff Expenditure</b>	<b>3,080</b>	<b>708</b>	<b>415</b>	<b>294</b>	<b>41.54%</b>
<b>Gross Expenditure</b>	<b>11,672</b>	<b>2,856</b>	<b>2,671</b>	<b>185</b>	<b>6.49%</b>
INCOME	(5,830)	(1,458)	(801)	(657)	45.07%
<b>Net Expenditure</b>	<b>5,842</b>	<b>1,398</b>	<b>1,870</b>	<b>(472)</b>	<b>-33.75%</b>
<b>Total Departmental Charge</b>	<b>5,842</b>	<b>1,398</b>	<b>1,870</b>	<b>(472)</b>	<b>-33.75%</b>
Standards Directors Office	552	130	66	65	49.74%
Business Operations Develop (Stds)	220	55	53	2	2.79%
Education & Training	(819)	(219)	(49)	(171)	77.83%
Ethics	1,572	385	505	(120)	-31.30%
Practice Standards	3,826	948	839	109	11.52%
RIS	490	99	455	(356)	-360.73%
<b>Total Directorate</b>	<b>5,842</b>	<b>1,398</b>	<b>1,870</b>	<b>(472)</b>	<b>-33.75%</b>

NB: Budget centres are under review following the creation of new directorates within the SRA. For budget purposes, total annual income is distributed evenly throughout the year, although the actual income pattern is seasonal.

## Appendix 3: Headline Summary of performance against LSCC strategic targets– LCS and CAI (April 2006 to March 2007)

NB: Data on this page refers to the combined performance of LCS and Compliance as reported to the LSCC. This is the final report for the plan year 2006/07. For the next plan year, as well as the combined performance, the LSC requires reporting on the contributions of both SRA and LCS towards the overall targets. We will therefore publish the headline SRA performance from April.

<b>Strategic priority 1 : improving the speed with which complaints are handled</b>				
	<b>Current month</b>	<b>Year to date</b>	<b>Law Society Target</b>	<b>Variance from target</b>
<b>Target T1 Number of live cases open for 15 months or more</b>				
	56	N/A	By 31 March 2007 no more than 65 cases open	-9
<b>Target T2 Age profile of cases closed</b>				
<b>Cases closed between 1 April 2006 and 31 March 2007</b>				
<b>Within 3 months</b>	60%	59%	57%	2%
<b>Cases closed that were received between 1 April 2005 and 31 March 2006</b>				
<b>Within 12 months</b>	96%	94%	94%	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>				
	71%	68%	73%	-5%

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

<b>Strategic priority 3 : implementing the plan for complaints handling</b>			
	<b>Current month</b>	<b>Year to date</b>	<b>Law Society Target</b>
<b>Target P1: The total budget to support the delivery of the plan.</b>			
<b>Target P1</b>	-2.7%	-2.7%	-10% to 0%
<b>Target P2: All resources to support the delivery of the plan</b>			
<b>Target P2</b>	0%	0%	-10% 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>CAU</b>	Customer Assistance Unit
<b>CCC</b>	Customer Contact Centre (formerly CAU)
<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 poor <i>service</i> , for which redress can be offered (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>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>SRA</b>	Solicitors Regulatory Authority
<b>Throughput</b>	The volume of cases passing through the Compliance Directorate 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 or to the following 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	