

Solicitors
Regulation
Authority

SRA Summary of Performance Measures and Statistics

March 2008

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

Headlines for March 2008

- **Solicitors Disciplinary Tribunal** orders show a slight increase year on year. Numbers of suspensions and fines issued have increased, with a particularly high number of suspensions made over the last quarter. The proportion of those being struck off has conversely decreased year on year. ▶ *see page 4*
- The number of **Tribunal Proceedings** which the Disciplinary Unit are yet to issue has reduced further this month, giving a decrease of 21% year to date. ▶ *see page 5*
- The proportion of authorised **Forensic Investigations** awaiting an investigator has decreased this month. Over the past 24 months, investigations in progress have formed the minority of inspection matters. However, FI now has 54% of all investigations underway. ▶ *see page 6*
- The **Practice Standards Unit** are 15% up on target for the numbers of visits made year to date. The positive impact of these visits is shown in the reduced number of complaints received about firms visited by the Unit (16% - 21% less), while firms that have not received a monitoring visit generate 1% - 11% more complaints in the same analysis period. ▶ *see page 7*
- **Regulatory Investigations'** decisions to refer to the SDT have risen 20% year on year, with 16% of their investigation files closed in the last 12 month concluding with a referral. ▶ *see page 8*
- In the **Conduct Investigation Unit** there has been a 24% increase in the number of files where allegations were formally upheld or referred to the SDT upon closure in the last 12 months as compared with the previous 12 months. ▶ *see page 9*
- The payments made on claims closed by the **Compensation Fund** in the last 12 months represent 26% of the overall amount claimed on those matters. This is a decrease on the previous 12 months where 32% of the total value claimed was granted. ▶ *see page 10*
- There were 7 **Interventions** effected in March. Total numbers have risen 37% year on year, with 63 interventions effected in the last 12 months, although there have been peaks at similar levels in 2005 and 2006. The proportion of those made on the grounds of suspected dishonesty has increased. ▶ *see page 11*
- The **Information Directorate** has begun the solicitor annual enrolment exercise, and student enrolment applications are also beginning to come in. Calls to the Contact Centre are down on volumes, and service levels have conversely improved. ▶ *see page 12*
- The **Ethics Guidance Service** has now successfully worked through the backlog of correspondence that was brought forward from last year and now has a new service level in place. ▶ *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.

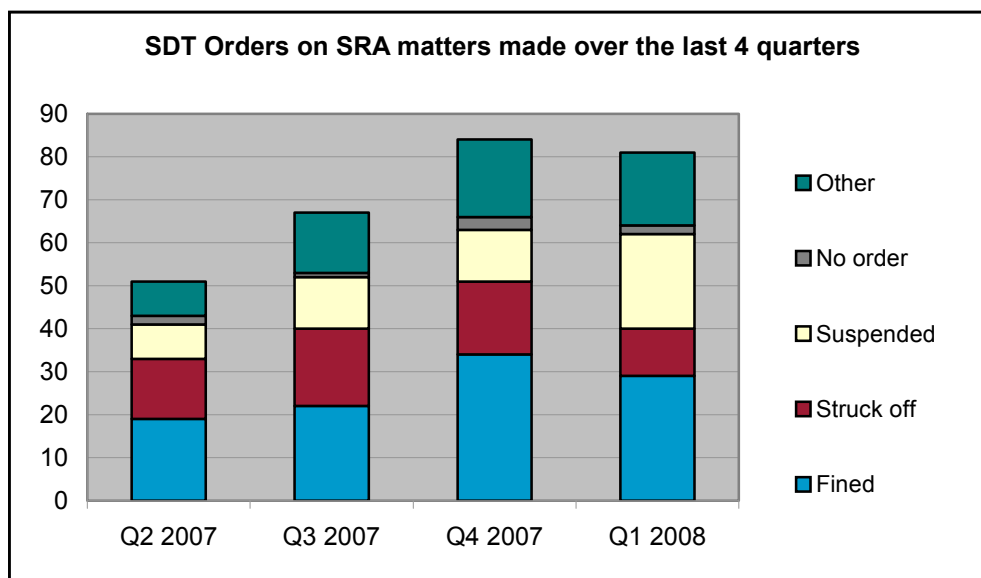
It should be noted that cases referred to the SDT are often a combination of matters, frequently originating in different Units, brought together into one application to the Tribunal by the Disciplinary Team.

SDT Orders	12 months to Mar 07	12 months to Mar 08	Variance	Monthly Average to Mar 08
Fined	90	104	+16%	9
Struck Off	74	60	-19%	5
Suspended	37	54	+46%	5
No Order	11	8	-27%	1
Other	59	57	-3%	5
TOTAL	271	283	+4%	24

This month the SDT made 21 orders on Tribunal Proceedings brought by the SRA against solicitors.

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

This chart shows a quarterly breakdown of orders made, showing clearly the rise in suspensions and fall in decisions to strike off. The number of fines issued also shows an increasing trend over the last 12 months.



One fifth of orders made in the last 12 months come into the 'other' category. These include reprimands, Section 43 orders, Section 47.2(g) orders and orders to pay costs only.

There has been more than a 50% increase in the number of reprimands issued by the SDT on SRA matters year on year - 32 in the last 12 months as compared with 21 in the 12 months previous.

Numbers of Section 43 orders have remained consistent year on year.

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

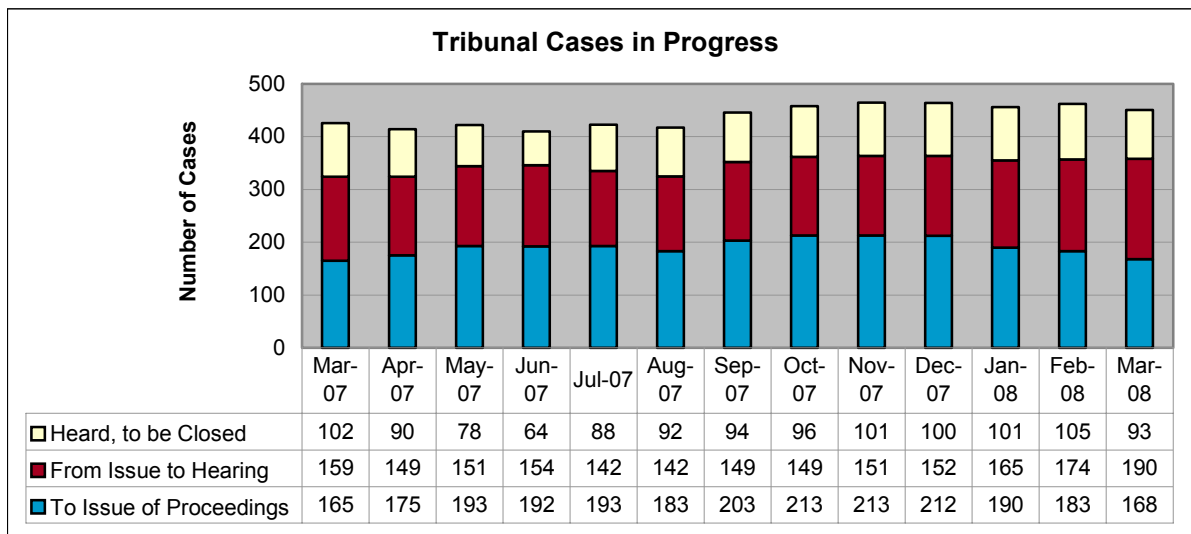
Section 47.2(g) allows for a condition to be placed upon a former solicitor who has been removed from the roll so that they may not be restored to the roll except by means of an order of the Tribunal.

Legal Prosecutions

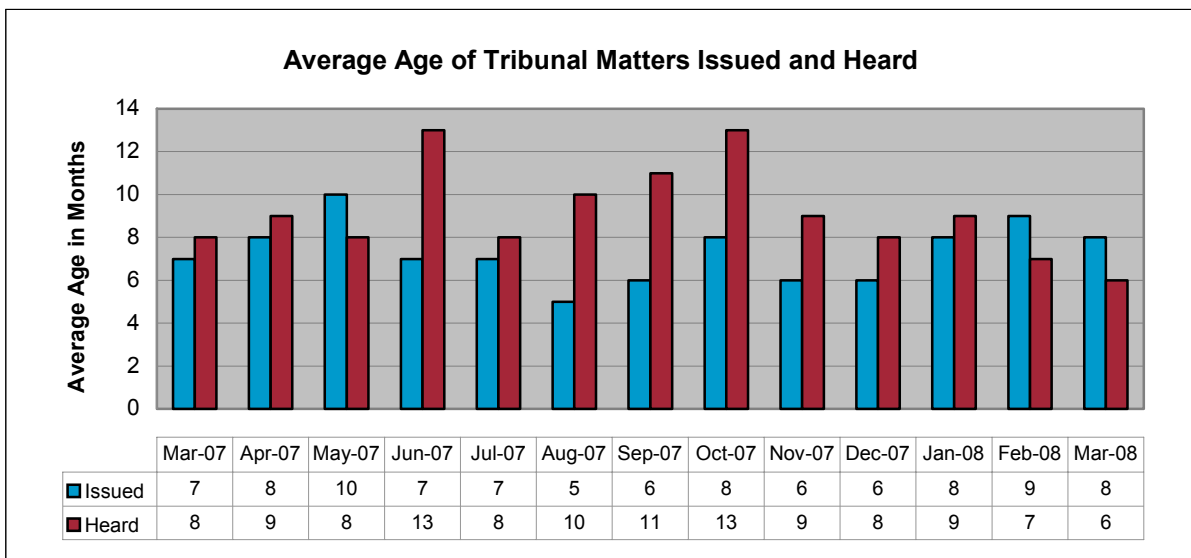
The **Disciplinary Proceedings Team** is responsible for the prosecution of solicitors before the Solicitors Disciplinary Tribunal (SDT) and the conduct of litigation in respect of the exercise of the SRA's regulatory powers. The recovery of the costs associated with these activities is handled by the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

Tribunal Cases	12 months to Mar 07	12 months to Mar 08	Variance	Monthly Average
New Cases	288	334	+16%	28
Closed Cases	264	313	+19%	26

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



In addition to these 451 Tribunal proceedings, there are also 25 Applications by Solicitors / Clerks (ASC matters) in progress where the SRA is the respondent in appeals being made directly to the Tribunal about previous Section 43 orders or a decision to remove an individual from the roll of solicitors.



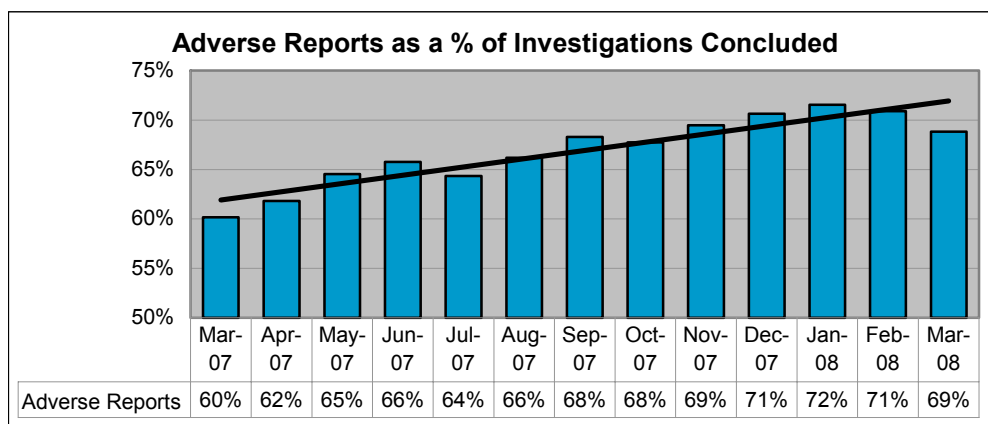
A new Tribunal matter is created when the decision is made to refer the matter to the SDT. The Disciplinary Team's target is to issue proceedings within the next 6 months. The SDT, in turn, aims to hear matters within 6 months of issue. This chart shows the average age of Tribunal matters issued by the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

Inspection & Investigation Forensic Investigations

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

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

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

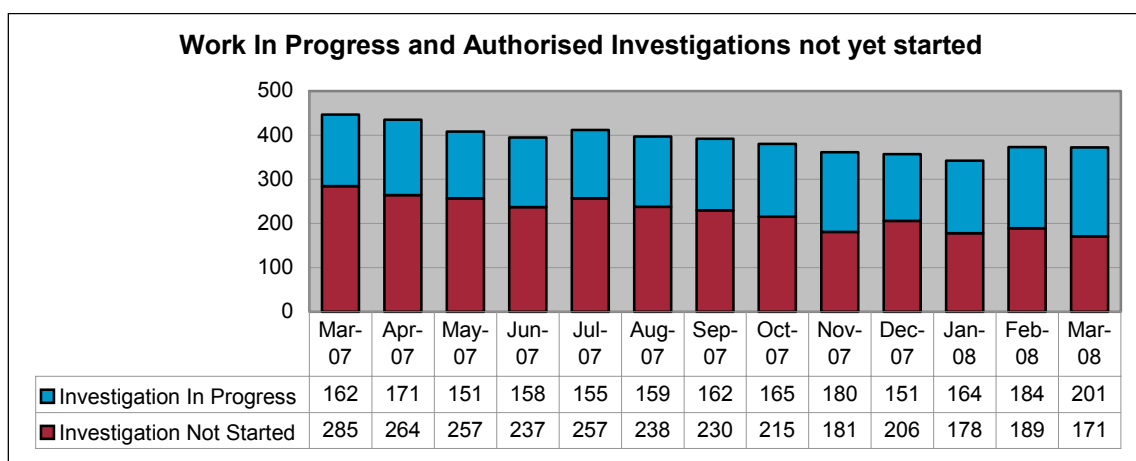


There has been a slight reduction over recent months due to a decline in adverse findings over the first 3 months of this year. The overall rising trend has been influenced by several factors, including the targeting of specific areas of risk. Considerable resource has been committed in respect of Miners' cases, mortgage fraud and the threat posed by money laundering. Across the organisation, greater experience and understanding of risk also leads to better, more focussed intelligence, which is another key factor impacting on the proportion of adverse findings.

The next table shows throughput figures for the unit. The numbers of new investigations authorised (indicated by the creation of a new file) have fallen year on year. The closure figures are split to show those investigations that reached conclusion against those that were rescinded where no investigation took place.

Forensic Investigations	12 months to Mar 07	12 months to Mar 08	Variance	Monthly Average to Mar 08
New Investigation Files Created	493	371	-25%	31
Investigation Concluded	447	368	-18%	31
Rescinded / Other	46	78	+70%	6.5

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



This month, the proportion in progress has risen above 50% for the first time in the last 24 months, as recent recruitment has enabled us to place more investigators out in the field.

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 Mar-07	To Mar-08	To Mar-08 Target	Variance to Target
Full Risk Profiles Completed	286	259	296	-13%
Total Visits Completed	220	345	301	15%
Client Care Seminars	1	9	7	29%

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.

Visit Outcomes	Mar-07	Apr-07	May-07	Jun-07	Jul-07	Aug-07	Sep-07	Oct-07	Nov-07	Dec-07	Jan-08	Feb-08	Mar-08
A	4	3	7	5	3	9	20	9	16	6	9	15	3
B	34	30	27	51	60	41	68	68	54	29	48	57	13
C	11	14	18	19	14	19	26	13	25	10	27	27	3
D	2	4	3	1	1	6	4	6	5	4	5	2	1
No Grade	9	8	10	3	0	0	0	0	0	0	0	0	0
Awaiting Grade	0	0	0	0	0	0	0	0	0	0	11	34	90
Total Visits	60	59	65	79	78	75	118	96	100	49	100	135	110
% Grade C or D *	25%	35%	38%	26%	19%	33%	25%	20%	30%	29%	32%	21%	-

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 = Referral Arrangement Compliance Project visits completed by PSU which are not graded.

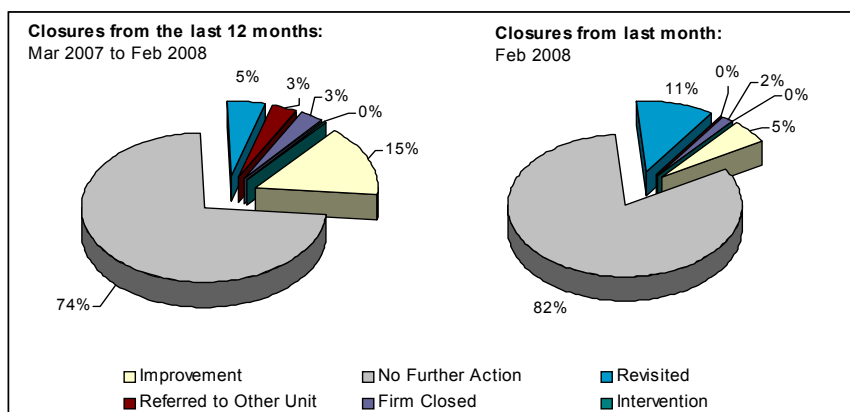
* shown as a percentage of all graded visits

Over the 12 months March 07 to February 08, significant areas of weakness and/or breaches of the Practice Rules were identified in 27% firms visited. (These have outcome grades of C or D in the table above)

Internal Referrals Made	Mar-07	Apr-07	May-07	Jun-07	Jul-07	Aug-07	Sep-07	Oct-07	Nov-07	Dec-07	Jan-08	Feb-08
Formal Referrals	3	5	4	7	5	8	7	7	5	3	8	2
as % of Visited Firms	5%	8%	6%	9%	6%	11%	6%	7%	5%	6%	8%	1%
Intelligence Referrals	4	7	1	5	0	6	3	6	6	2	7	2
as % of Visited Firms	7%	12%	2%	6%	0%	8%	3%	6%	6%	4%	7%	1%

The overall percentage in the last 12 months of those firms being formally referred is 6.3%.

Final Outcomes



Each visit file is given a final outcome upon closure.

In the last 12 months 88.4% of files have been closed with either Improvement or No Further Action.

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

Regulation Response

Regulatory Investigations

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

REGULATORY MATTER DECISIONS	12m to Mar 07	12m to Mar 08	Variance	Monthly Average to Mar 08
PC Conditions	1864	1828	-2%	152
Intervention *	59	91	+54%	8
Referral for Disciplinary Proceedings	342	411	+20%	34
Vest Discretion	231	242	+5%	20
No Action	261	200	-23%	17
Accountants Reporting Issues	894	800	-11%	67
Finding/Warning/Rebuke/Reprimand	369	356	-4%	30
Other	357	336	-6%	28
Costs Directions	393	345	-12%	29
TOTAL	4377	4264	-3%	355

Notes

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

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

Outcomes of Regulatory Applications and Investigations

During the last 12 months, RI finalised **2,286** applications and concluded **1,802** investigations.

Applications:

Of those applications, **1228 (54%)** were from individuals required to notify us of their intention to apply for a PC as they are subject to Section 12 of the Solicitors Act 1974. Section 12 gives us discretion with respect to issue of practising certificates in special cases - for example, those who are applying for the first time or after a period of suspension. These notifications are received by the Information Directorate who will deal with any straightforward applications and refer the remainder on to RI.

This equates to an average of **53** applications a month from individuals newly subject to Section 12, plus another **50** each month from those who were already subject to Section 12 when they applied for their current PC and are looking to renew. Any conditions on their current PC may be continued, varied or lifted. These are distributed unevenly throughout the year however, as levels peak around PC renewal time in the Autumn.

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

Investigations:

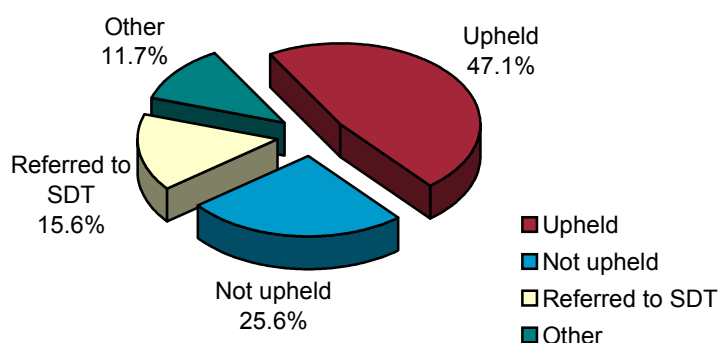
- The allegations under investigation were upheld in **849 (47%)** cases.

- **282 (16%)** resulted in a referral to the SDT.

- **461 (26%)** were not upheld.

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

Regulatory Investigations closed in the last 12 months showing outcome



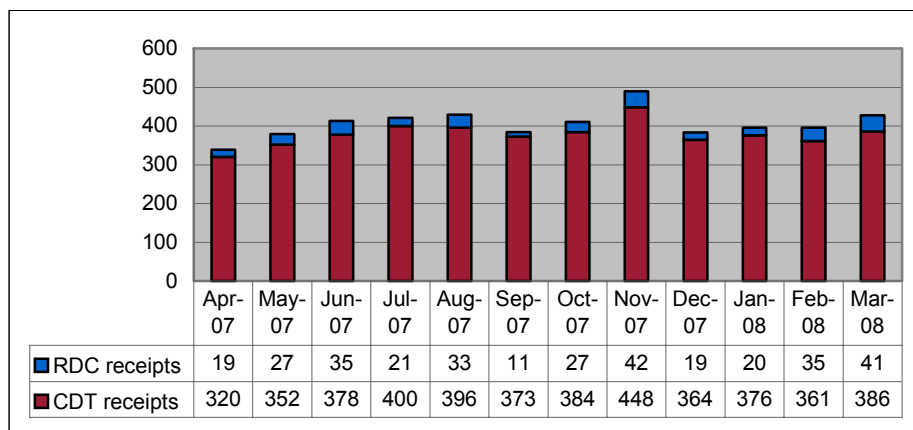
Regulation Response Conduct Investigation Unit

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

CIU receipts

The graph shows the numbers of new files created over the last year - each file represents a distinct report of alleged misconduct. RDC files are generated by referrals from LCS. 3 service matters received in April 07 are not shown.

There have been an average of 406 received each month over the last 12 months.



Investigative Outcomes

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

CIU File Outcomes	12 months to Mar 07	12 months to Mar 08	Variance	Monthly Average to Mar 08
Not Upheld	4343	4010	-8%	334
Excluded matters	612	441	-28%	37
Required no regulatory action	3652	3562	-2%	297
Conciliated (service)	79	7	-91%	1
Upheld	624	671	+8%	56
Letter of Advice	177	211	+19%	18
Formal decision made	447	460	+3%	38
Referred to SDT (see notes)	(32)*	135	-	11
Other	9	12	+33%	1
TOTAL	5008	4828	-4%	402

There has been a 19% increase in the number of letters of advice issued in the past 12 months compared to the previous 12 months. This is a result of improved focus on risk-based and proportionate responses to the reports of misconduct we receive.

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

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

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

* The 32 matters referred to the SDT upon closure relate only to files closed since December 2006 when this outcome code was introduced, not to a full 12 month period. The year on year variance is therefore not shown.

Client Protection Compensation Fund

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

Claims and Payments Made Year to Date

Amounts in £ million	CLAIMED	PAID
Mar 08 YTD	£8.1M	£1.7M
Mar 07 YTD	£3.2M	£2.6M
variation	+ 153%	- 35%

Claims received this year to date are up significantly on last year's figures, due in the main to an increased number of interventions taking place which require emergency funding. This funding is granted to enable any urgent financial commitments to be met on behalf of the intervened firm, such as house completion monies.

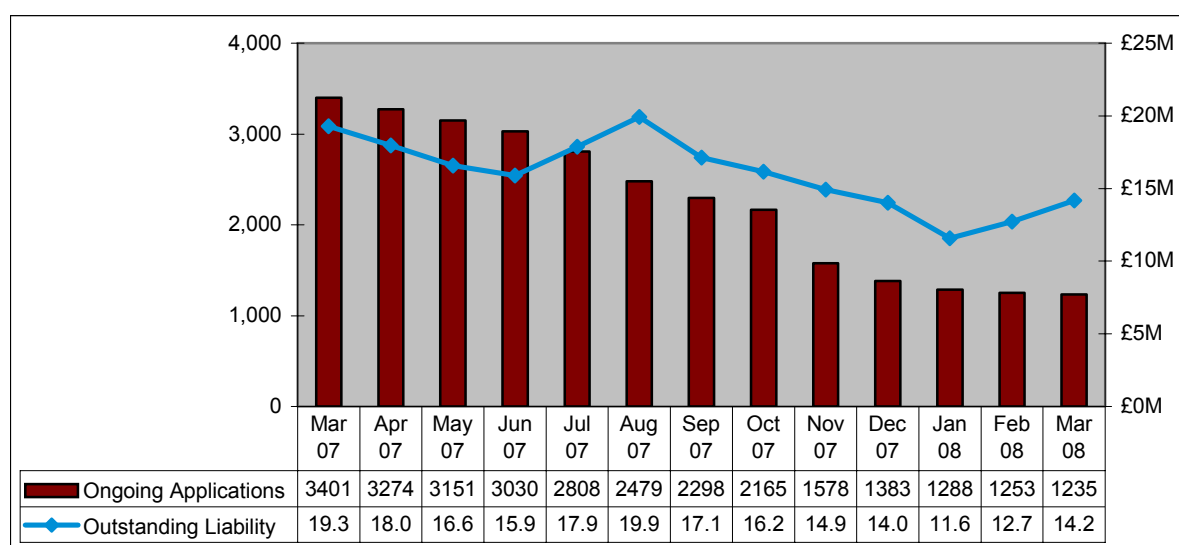
Payments out of the fund are down, in line with the falling number of applications ongoing and overall liability.

Payments on Applications Concluded

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

Amounts in £ million	TOTAL CLAIMED	TOTAL PAID OUT	% PAID OUT OF AMOUNT CLAIMED
12 m to Mar 08	£36.76M	£9.53M	26%
12 m to Mar 07	£56.40M	£18.23M	32%
variation	-63%	-85%	-6%

Outstanding Liability



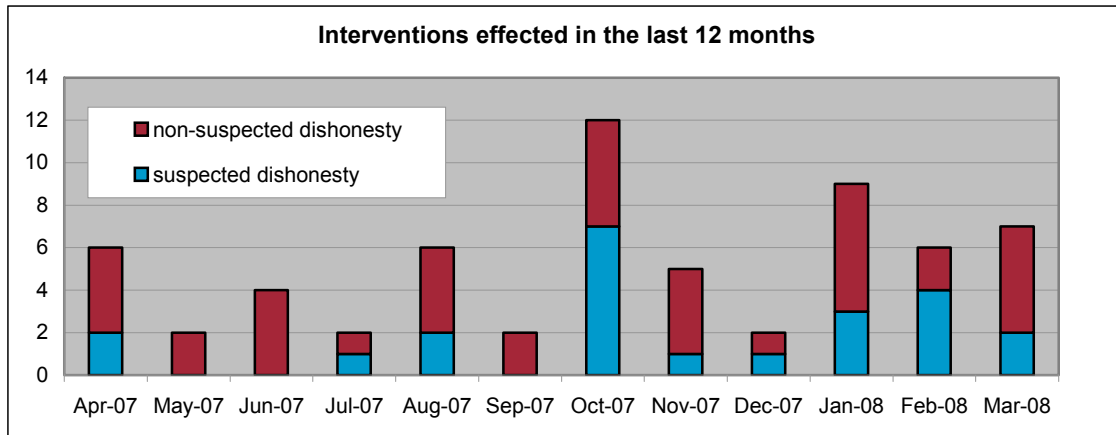
The number of applications open has levelled off over the last few months after the consistent decreasing trend seen throughout 2007.

Outstanding liability against the fund has again increased slightly, but remains significantly down on the level seen 12 months ago.

Client Protection Interventions

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

There were 7 interventions effected this month, 2 of which were on the grounds of suspected dishonesty. All 7 were effected within target. The picture over the last 12 months is as follows:



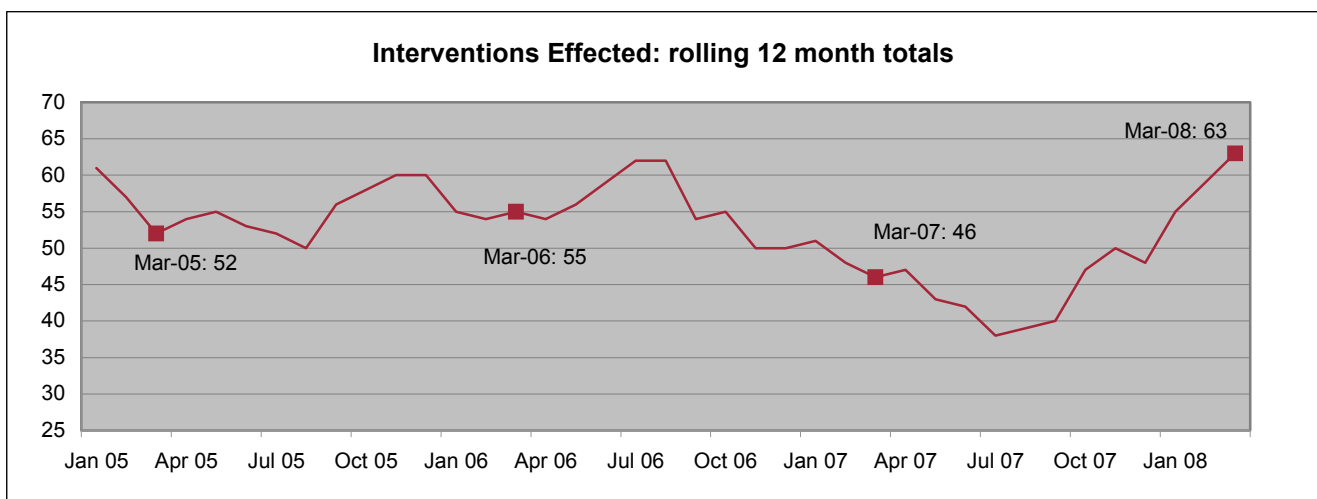
Interventions have increased 37% year on year, with the proportion of those effected on the grounds of suspected dishonesty also increasing. 37% of interventions effected in the last 12 months involved suspected dishonesty, as compared with 28% in the previous 12 months.

12 m FIGURES	INTERVENTIONS EFFECTED	Suspected Dishonesty	No Suspected Dishonesty	Sole Practitioner	2 - 4 Partner firm
12 m to Mar 08	63	23	40	51	12
12 m to Mar 07	46	13	33	40	6
% variation	+ 37%	+77%	+21%	+28%	+100%

81% of interventions were into sole practitioners' firms with an average of over 4 sole practitioner's firms being intervened into each month over the last 12 months.

Long term trends

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



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

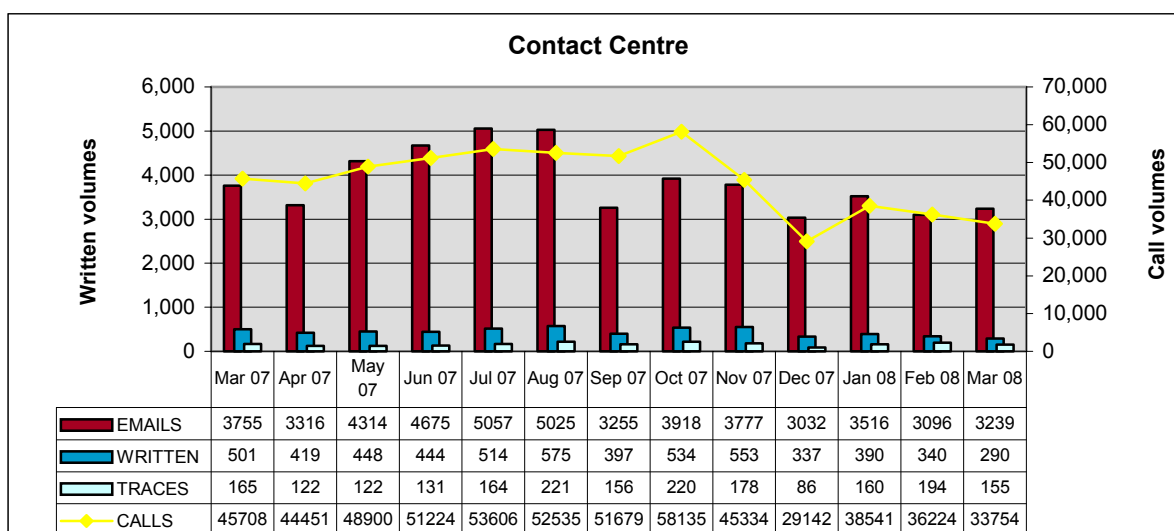
Information

Contact Centre

The calls volumes for the Contact Centre have fallen for a second consecutive month. Overall, however, volumes have risen 4% year on year to 543,525 calls being received in the last 12 months.

The call centre answered 77% of calls within 60 seconds, exceeding their target level for 2008 of 70%. Reduced call volumes have helped abandonment rates to improve further, with just 6% of calls being abandoned during March.

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



Operations Unit

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

Following the dispatch of around 9,000 student enrolment applications, this month saw over 1,200 received for processing. The remainder are expected to enrol over the next 4 to 5 months before LPC courses commence.

The annual renewal for solicitors who wish to remain on the roll has now begun, with almost 9,000 renewal forms already returned. Following last year's successful pilot, a proportion of these renewals will take place via a new simplified process which enables more detailed consideration of applications from individuals posing greater regulatory risk.

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

Caseworking & Applications Unit

QLTT application levels remain high, but have dropped down from the levels seen last month. 480 applications were received during March, which is over twice as many as the figure seen in March 2007. The increase seen during February and March 2008 was anticipated due to the proposed revision of the Qualified Lawyers Transfer Regulations which is currently subject to consultation.

Certain applications received into the unit may be more complex or may involve issues of character and suitability (C&S) which require further investigation. 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 C&S cases from the last 12 months.

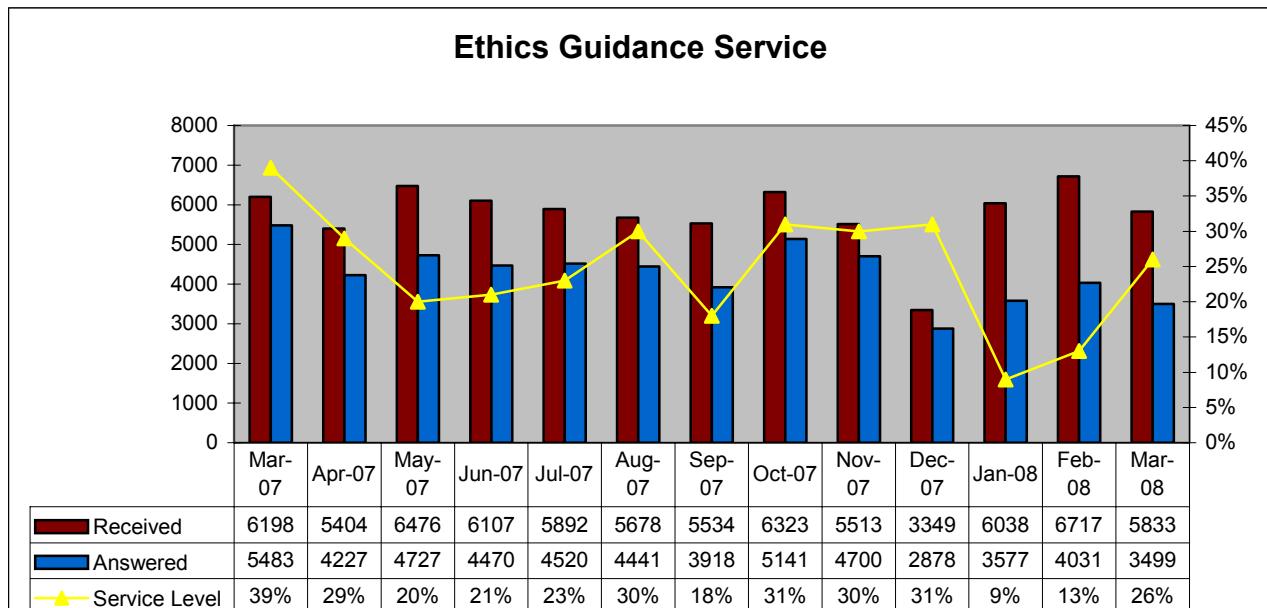
Character & Suitability	Granted	Refused	Other *
Enrolment	84%	14%	1%
Misbehaviour	68%	30%	2%

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

Of the total volume of QLTT applications received in the last 12 months, 316 required case working decisions. Of the 316, 71% related to other overseas solicitors, 20% related to barristers qualified in England, 7% related to European Community Lawyers and 2% to specialist practitioners. 27% were granted in full, with a further 46% 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 target timescales. Prior to 25 February 2008, this was 30 seconds. The service level target has now been revised, and all calls received since 25 February this year are measured against a target of 60 seconds.

The Ethics Guidance helpline dealt with just under 3,500 calls during March. The top areas on which the profession were seeking guidance this month were as follows:

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

The service level for March showed a marked increase from 13% to 26% and a reduction in the average waiting time of callers. The service was available for fewer working days this month due to the Easter holiday and this resulted in fewer calls being received during the month. Fewer calls were answered and the abandonment rate remained the same. Staff holidays and illness continued to have an impact on the service level.

Following February's change to the service level for telephone enquiries, the service level for written enquiries has also been revised. The timescale of 20 days which has been used since Autumn 2007 has halved and the Guidance team will now aim to respond to all written enquiries within 10 days.

365 items of correspondence were received in the department during the month of March, a 28% increase on last month. 429 items were dealt with, completing the outstanding post that had accumulated during the end of 2007 and beginning of 2008 due to shortages of staff through illness and secondments. By the end of March, only 5 items of outstanding correspondence remained outside the new service level of 10 days.

Appendix 1: Resources HRD, Budget Report

Monthly HRD Update

- As at 29th February 2008, the FTE for the SRA was 520.84 with 95.91 vacancies.
(There are 9 fixed-term temps and 41.50 FTE agency and contractors sitting against those vacancies).
- The budget FTE is 616.75
- During the first quarter of 2008, numbers of agency and contract staff have fallen, with an increase of 3% in the budget FTE.

Budget Report

Direct Costs summary for the 3 months ending 31 March 2008.

Account Description , £'000	Annual Budget	YTD Budget	YTD Actual	YTD Variance	Variance %
Gross and Net Expenditure					
Gross Expenditure	32,047	7,430	6,578	851	11%
Total Staff Expenditure *	19,668	4,637	4,335	302	7%
Paybill	28,040	6,763	6,234	528	8%
Other Staff Costs	1,444	329	353	-24	-7%
Staff & Admin Recoveries	-9,817	-2,454	-2,252	-202	-8%
Total Non-Staff Expenditure	12,379	2,792	2,105	687	25%
INCOME	-8,174	-1,857	-2,106	248	-13%
Net Position	23,873	5,572	4,472	1,100	20%
Breakdown of Net Expenditure by Business Area					
Chief Executive's Office	1,216	289	334	-45	-16%
Information	-1,041	-146	-576	430	295%
Standards	884	104	189	-85	-81%
Regulation Response	4,235	1,001	878	123	12%
Investigation	5,859	1,453	1,417	36	2%
Legal	6,643	1,662	1,394	268	16%
Client Protection	728	-32	-357	325	1,020%
Resources	1,696	354	301	53	15%
Policy	2,537	587	613	-26	-4%
SRA Change Programme	1,115	300	281	19	6%
Total SRA	23,873	5,572	4,472	1,100	20%

* Note: Total Staff Expenditure now takes into account staff and Admin recoveries.

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

There is extra income in the Information Directorate as a result of the increased number of QLTT applications and time lags in the Compensation Fund recoveries have contributed to Client Protection's increased income.

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
Strategic priority 1 : improving the speed with which complaints are handled				
Target T1 Number of live cases open for 12 months or more				
	50	N/A	By 31 March 2008 no more than 65 RDC cases open	6
Target T2 Cases closed within 3 months of receipt				
Within 3 months	79%	77%	76%	1%
Strategic priority 2 : improving the quality of complaints handling				
Target Q6: Percentage of referrals to the LSO that are upheld				
	81%	81%	76%	5%

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

	Current month	Year to date	LSCC Target
Strategic priority 3 : implementing the plan for complaints handling			
Target P1: The total budget to support the delivery of the plan.			
Target P1	-10.5%	-10.5%	-5% to 0%
Target P2: All resources to support the delivery of the plan			
Target P2	-5.9%	-5.9%	-5% to 0%
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.			
Target P3	100%	100%	
Target P4: Progress against the plan, targets and supporting KPIs, will be reported in line with the timescales agreed.			
Target P4	100%	100%	

Appendix 3: Glossary of terms

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

Age of Cases

The methodology for calculating the age of cases:

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

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

0-3 months = 0-91 days

0-6 months = 0-183 days

0-9 months = 0-274 days

0-12 months = 0-365 days

0-18 months = 0-548 days