



Solicitors
Regulation
Authority

SRA Summary of Performance Measures and Statistics

October 2007

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Headline Statistics for October 2007

- **Solicitors Disciplinary Tribunal** orders recorded by the SRA have increased by 16% year on year. The number of solicitors suspended from practice in the last 12 months has increased by 52%. An increasing number of these suspensions were for an indefinite period: 58% in the last 12 months.
▶ *see page 4*
- The average age of **Tribunal Proceedings** issued this month is outside the 6 month target at 8 months. There are currently 213 matters in progress where proceedings have not yet been issued. ▶ *see page 5*
- Firms receiving a monitoring visit by **Practice Standards Unit** generate between 16% and 22% less complaints than prior to a visit. Firms that have not received a monitoring visit generate between 1% and 11% more complaints in the same analysis period.
▶ *see page 7*
- **Regulatory Investigations** has seen a 35% increase in the number of referrals to the SDT in the last 12 months as compared with the 12 months leading up to September 2006. ▶ *see page 8*
- In the **Conduct Investigation Unit** there has been a 25% increase in the number of files where allegations were upheld or referred to the SDT upon closure in the last 12 months, as compared with the 12 months to September 2006. ▶ *see page 9*
- Claims made to the **Compensation Fund** year-to-date are 52% down on this time last year and the number of outstanding applications to the fund now stands at just 63% of the peak level seen in February this year. ▶ *see page 10*
- Last month saw 12 **Interventions** effected, well above the monthly average over January to September 2007 which was just 3.2. 7 of them were on the grounds of suspected dishonesty, and 2 following bankruptcies. ▶ *see page 10*
- Data relating to the **Professional Competence Team's** decisions made this year to date is now included under the Information Directorate. This year, of the 614 applications relating to Training or Qualified Lawyers Transfer Regulations referred to the team, 46% involved Character & Suitability issues. Of these, the applications concerned were refused in 24% of cases. ▶ *see page 11*
- The **Ethics Guidance Service** have received high call volumes this month, but have also delivered an improved service level. The proportion of calls abandoned has fallen from 29% in September to 19% - the lowest level we have seen for over 6 months.
▶ *see page 12*

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.

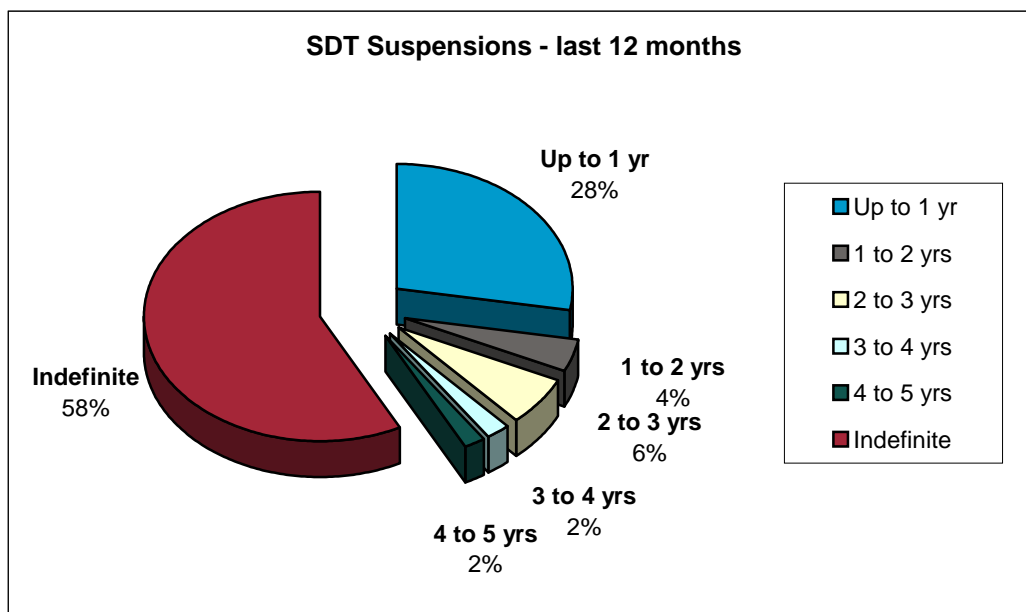
It should be noted that cases referred to the SDT are often a combination of matters, frequently originating in different Units, brought together into one application to the Tribunal by the Disciplinary Team.

SDT Orders	12 Months to		Variance	Monthly Average to Oct 07
	Oct 06	Oct 07		
Fined	79	95	+20%	8
Struck Off	66	79	+20%	7
Suspended	31	47	+52%	4
No Order	9	7	-22%	1
Other	64	62	-3%	5
TOTAL	249	290	+16%	24

This month saw 34 orders made by the SDT, as compared with an average over the last 12 months of 24, as shown above.

A breakdown of the suspensions recorded in the last 12 months is shown below. The majority are indefinite suspensions, with 65% of fixed-period suspensions lasting up to one year.

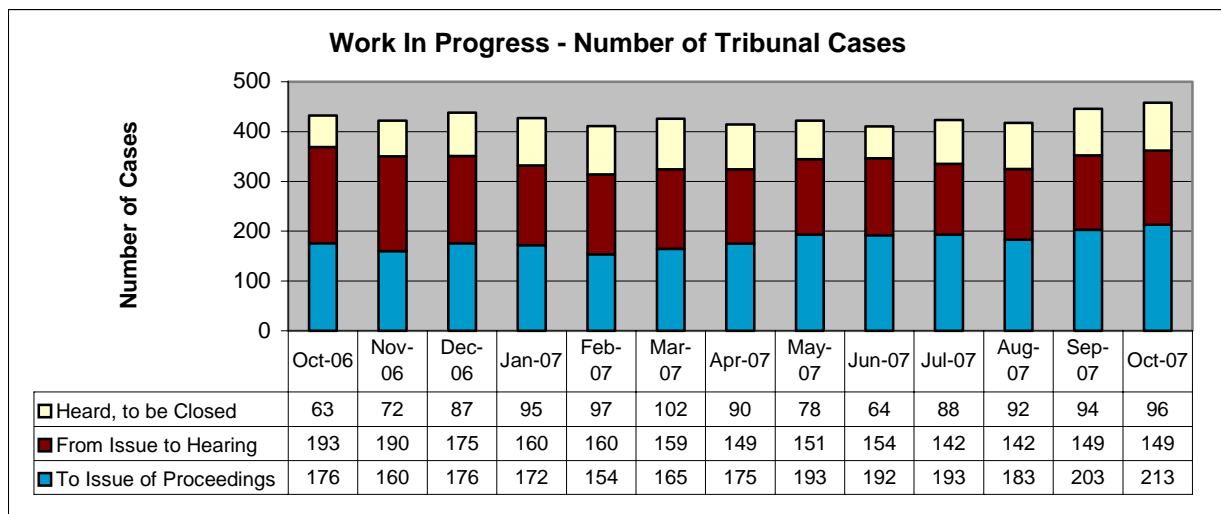
The maximum suspension period issued in the last 12 months was 5 years, against an average of 1.7 years.



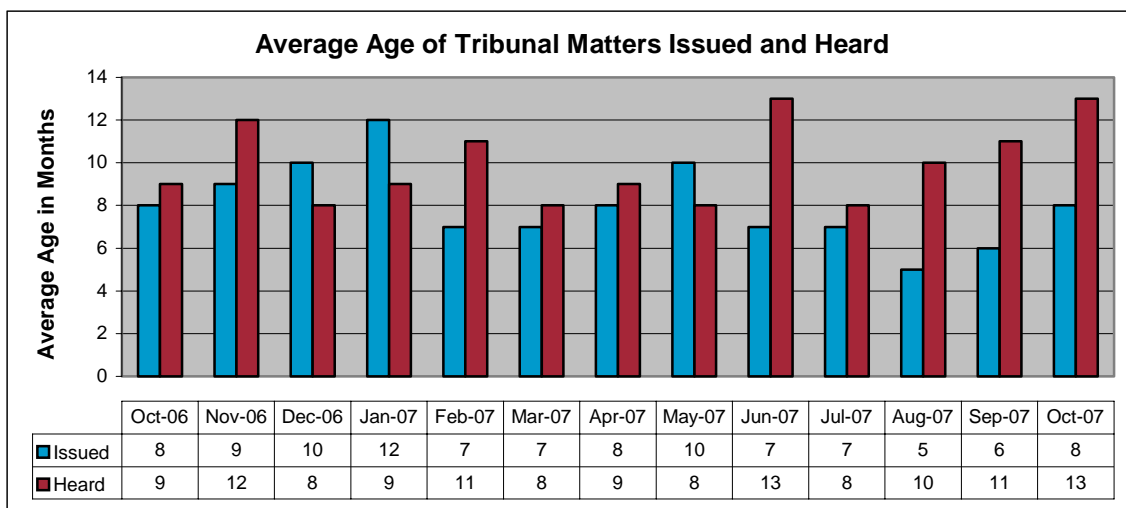
Legal Prosecutions

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 Oct-06	To Oct-07	Variance	Monthly Average
New Cases	294	331	+13%	28
Closed Cases	228	306	+34%	26



The chart above refers specifically to Tribunal matters against solicitors (TRI matter types). There are also 31 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.

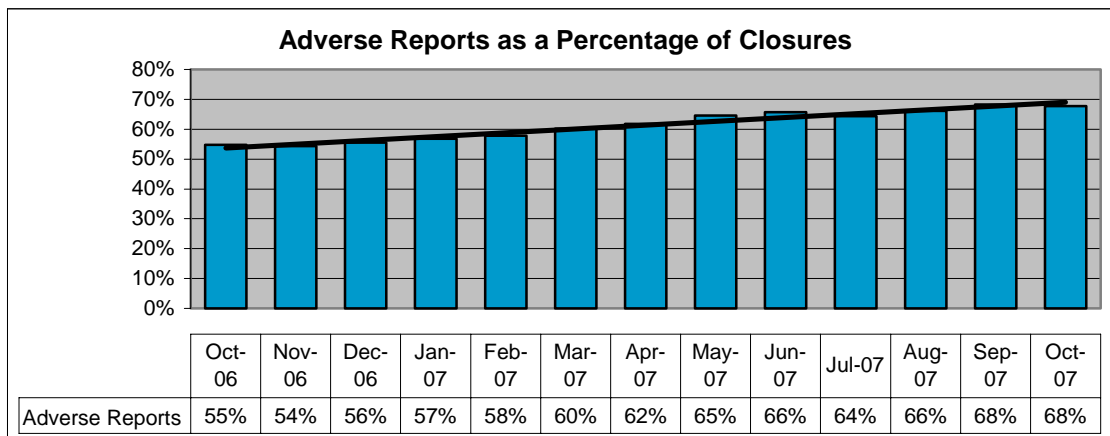


A new TRI matter is created when the decision is made to refer the matter to the SDT. The Disciplinary Team's target is to issue proceedings within 6 months of creation of that TRI matter. The SDT, in turn, aims to hear matters within 6 months of issue. Previous reporting measured the age at issue of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

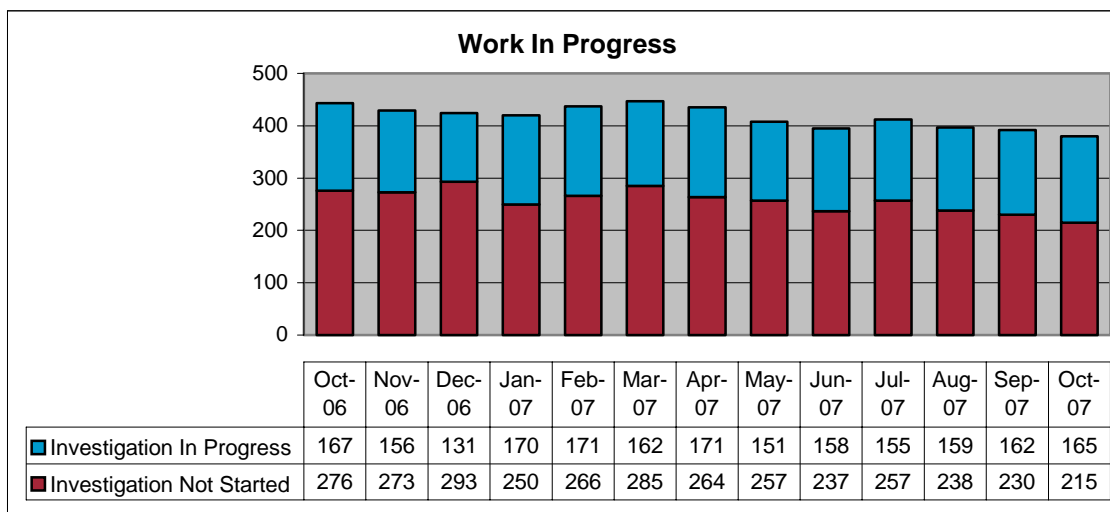
Forensic Investigations

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.

	12 Months			
	To Oct-06	To Oct-07	Variance	Monthly Average
New Investigation Files Created	449	400	-11%	33
Closed or Rescinded	487	456	-6%	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 Oct-06	To Oct-07	To Oct-07 Target	Variance to Target
Full Risk Profiles Completed	876	1072	869	23%
Total Visits Completed	969	791	849	-7%
Client Care Seminars	16	1	1	0%

Total visits completed are 7% 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 23% 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 22% 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 over the last 4 months due to a large number of complaints received in the Legal Complaints Service relating to miners compensation issues.

Visit Outcome Grades

Outcome Grade	Oct-06	Nov-06	Dec-06	Jan-07	Feb-07	Mar-07	Apr-07	May-07	Jun-07	Jul-07	Aug-07	Sep-07
A	6	11	2	5	4	4	3	7	5	3	9	16
B	66	50	15	60	52	34	30	27	51	60	40	57
C	29	26	9	20	15	11	14	18	19	14	19	19
D	7	3	3	2	2	2	4	3	1	1	6	3
No Grade	0	0	0	0	0	9	8	10	3	0	0	0
Awaiting Grade	0	0	0	0	0	0	0	0	0	0	1	23
% Grade C or D *	33%	32%	41%	25%	23%	25%	35%	38%	26%	19%	33%	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.
 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 27.7% 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

	Oct-06	Nov-06	Dec-06	Jan-07	Feb-07	Mar-07	Apr-07	May-07	Jun-07	Jul-07	Aug-07	Sep-07
Formal Referrals	6	3	4	2	7	3	5	4	7	5	8	6
as % of Visited Firms	6%	3%	14%	2%	10%	5%	8%	6%	9%	6%	11%	5%
Intelligence Referrals	10	9	3	4	4	8	4	7	1	5	0	6
as % of Visited Firms	9%	10%	10%	5%	5%	13%	7%	11%	1%	6%	0%	5%

As PSU makes site visits, it is well placed to judge whether firms should be formally referred to Regulation Response or Inspection & Investigation for further disciplinary action where they are not responsive to PSU's supportive approach, or in cases of suspected dishonesty or serious regulatory breaches. PSU also make intelligence referrals to Regulation Response or Inspection & Investigation. The average percentage in the last 12 months of those firms being formally referred is 6.5%.

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, 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 Oct 06	To Oct 07	Variance	Monthly Average to Oct 07
PC Conditions	1,367	1,934	+41%	161
Intervention	116	103	-11%	9
Referral for Disciplinary Proceedings	314	424	+35%	35
Vest Discretion	236	251	+6%	21
Accountants Reporting Issues	328	208	-37%	17
Finding/Warning/Rebuke/Reprimand	813	782	-4%	65
No Action	347	356	+3%	30
Other	350	299	-15%	25
Costs Directions	389	374	-4%	31
TOTAL	3,871	4,357	+13%	363

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, 36% of the additional applications 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.

Although the table above shows an overall decrease in numbers of decisions to intervene made year on year, it should be noted that in October there was a sharp increase in the number of decisions to intervene which has led to the high number of interventions effected this month (see page 10).

In the last 6 months, RI have finalised **1,030** applications and concluded **988** investigations.

Of those applications:

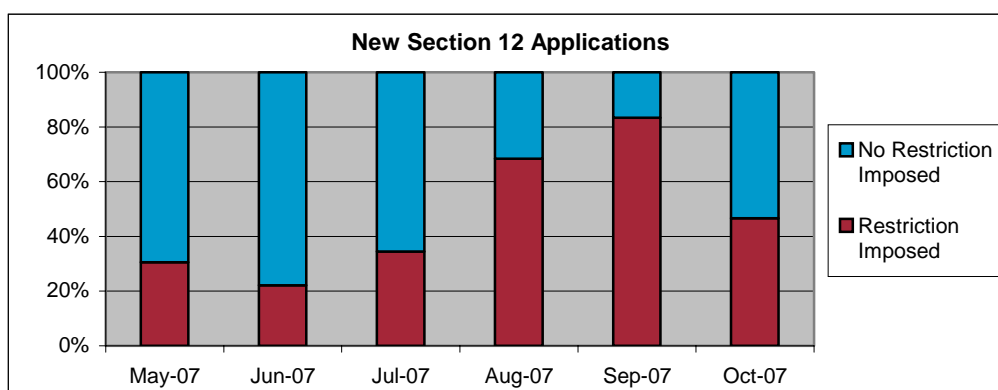
270 (26%) were new Section 12 applications (see graph below for more detail)

249 (24%) were existing Section 12 applications

446 (43%) 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.

(65 applications were withdrawn)

The allegations under investigation were upheld in **442 (45%)** cases. **157 (16%)** resulted in a referral to the SDT. **273 (27%)** were not upheld.



The chart above shows the outcome of all new Section 12 applications. Over the last 6 months, 37% 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 1st 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			
	To October 06	To October 07	Variance	Monthly Average To Oct 07 *
Not Upheld	4944	4190	-15%	349
Excluded matters	962	457	-52%	38
Required no regulatory action	3791	3716	-2%	310
Conciliated (service)	191	17	-91%	1
Upheld	606	662	+9%	55
Letter of Advice	155	196	+26%	16
Formal decision made	451	466	+3%	39
Referred to SDT	0	95	n/a	8
Other	9	13	+44%	1
TOTAL	5559	4960	-11%	413

*Monthly average based on January '07 to date

There has been a 26% 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 25% increase in the number of files where allegations were upheld or referred to the SDT on closure in the last 12 months, as compared with the 12 months to October 2006.

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

Client Protection Compensation Fund & Interventions

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

Claims and payments

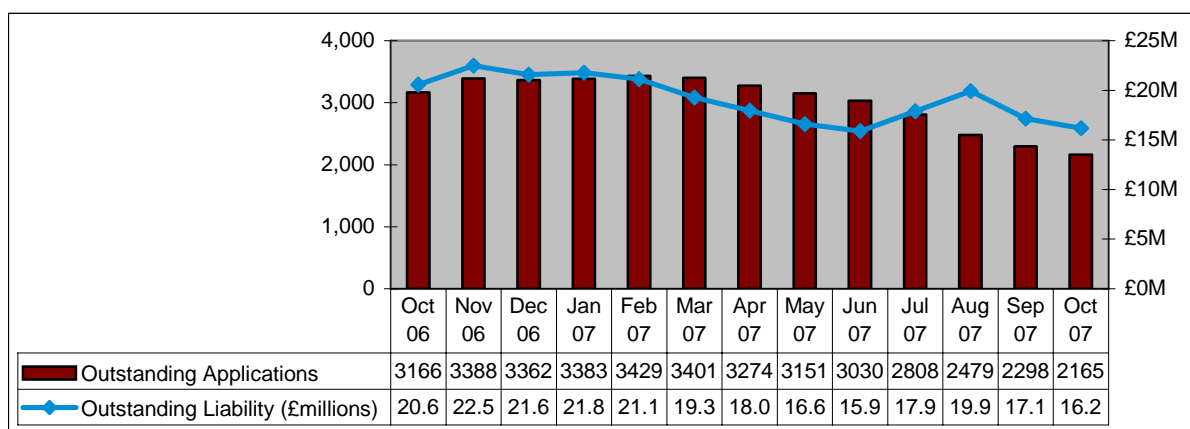
Amounts in £ million	YTD	
	CLAIMED YTD	PAID YTD
Oct 07	£13.1M	£9.6M
Oct 06	£27.5M	£8.5M
Variation	-52%	13%

Ongoing Claims

Amounts in £ million	VALUE OF OPEN CLAIMS	REJECTED	REVISED CLAIM *
Oct 07	£21.9M	£1M	£22.4M
Oct 06	£31.5M	£1.1M	£34.4M
Variation	-30%	-9%	-35%

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

Outstanding Liability



Following a sustained and steady increase over the twelve months prior to November 2006, the number of outstanding applications is continuing to decline. It now stands at just 63% of the peak seen in February.

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

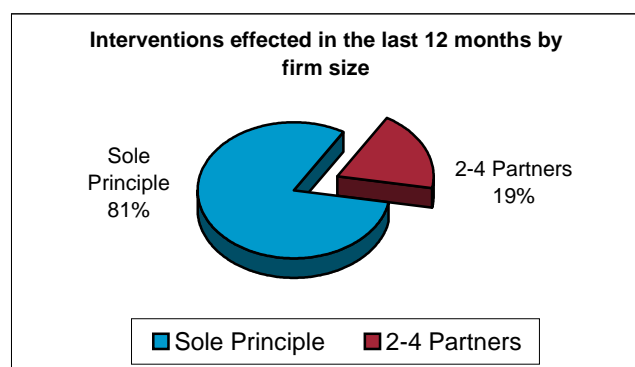
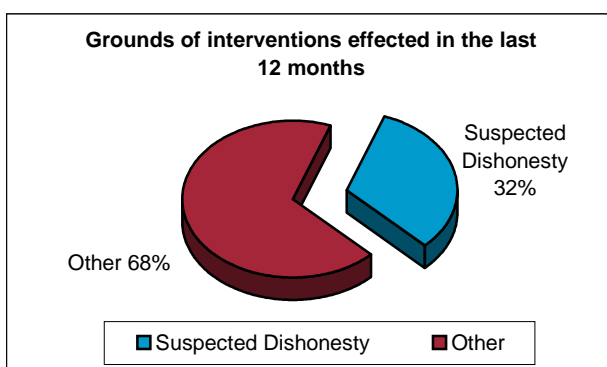
Interventions

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.

12 Interventions were effected this month: 7 of them on the grounds of suspected dishonesty and 2 following bankruptcy. All 12 were effected within target. Although the number of interventions has been unusually high in October, there does not yet appear to be any evidence of a particular underlying cause that has driven this sudden growth.

The average number of interventions taking place each month during 2006 was 4.2. For 2007 year-to-date the monthly average has been much lower, but due to the high number effected this month, now stands at 4.1. 32% of interventions effected during 2007 related to suspected dishonesty, as compared with 28% in 2006.

The charts below refer to the 47 interventions effected during the last 12 months.

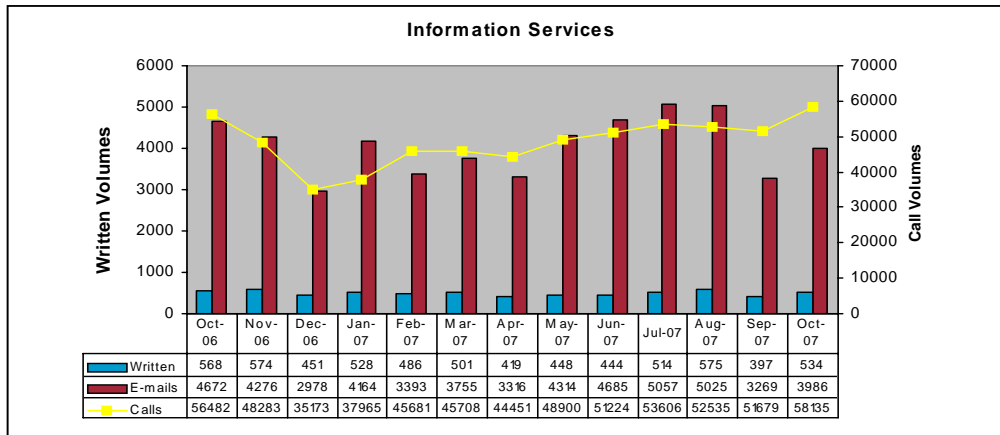


Information

Information Services

The IS team received a high volume of calls last month, with an overall rise in call volumes of 18% in the last 12 months as compared with the 12 months previous. October 2007 saw a 20% increase in call volumes to October 2006. The number of letters and emails dealt with last month also increased from September's levels, and 100% were handled within target timescales.

In line with previous years, the SL changed in October to 75% of calls being answered within 30 seconds and 31% of calls were answered within this target. This SL is within the region we expected as outlined in September's report. During the month, 197 hours of training were completed to ensure that all members of the team were able to answer calls relating to the renewal of practising certificates and registrations which are the reason for the current increase in call volumes.



Registration Project Team

The annual PC renewal exercise is well underway with 43% of the 13700 firm PC renewal forms sent out in September now received back again and processed, and 31% of the 11888 individual PC renewal forms received and processed.

Customer Applications Team

The team is currently dealing with peak volumes of applications to register training contracts. 418 training contracts were registered during October, and there has been a 4% rise year on year in the number of these applications received.

QLTT applications have increased year on year, with 11% more applications received in the last 12 months (2316 applications) as compared with the previous 12 months (2078).

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, 614 decisions have been made regarding the Training Regulations and Qualified Lawyers' Transfer Regulations. 46% 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	85%	13%	2%
Misbehaviour	73%	25%	2%

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

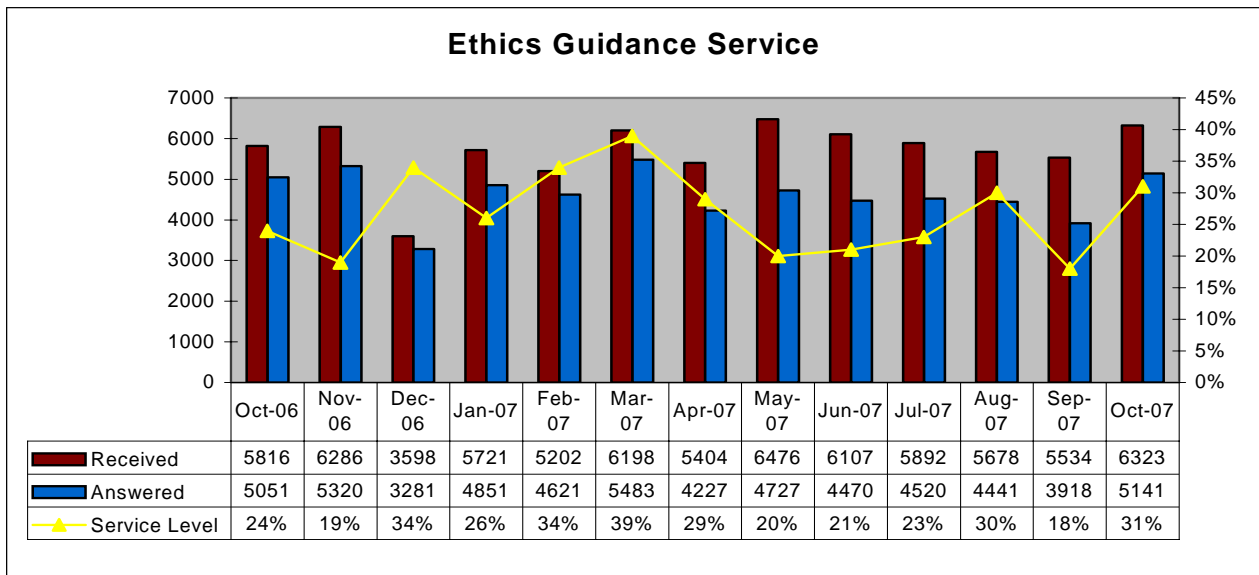
There have also been 186 applications under the QLTT process referred to PCT by Customer Applications. 25% relate to Barristers qualified in England, 10% relate to European Community Lawyers and 64% to other Overseas Solicitors. 31% were granted in full, with a further 44% granted in part or with conditions.

Resolution Team

There has been a 64% increase in the number of applications for restoration to the roll made year on year, with an average of 144 applications received each month in the last 12 months.

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.

The Ethics Guidance Service saw a 14% rise in call volumes this month as compared with September, to peak levels nearing those seen in May earlier this year. The 6323 calls received represent call volumes 11% above the monthly average for the previous 12 months.

In spite of these high call volumes, service levels have improved:

- 31% more calls were answered in October than September
- the percentage of calls abandoned before being answered fell from 29% to 19%
- the average waiting time for customers dropped by over 2 minutes
- 31% of customers were through to an advisor within 30 seconds

The two new team members recently joined the Ethics Guidance Service and are beginning to have a noticeable impact on the team's capacity to answer calls, and an additional two new members of staff are due to join in early November.

Appendix 1: Policy & Communications Equality & Diversity

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

The reporting period for this data has been extended from 1 month to the last 6 months.

The Regulatory Investigation Unit's investigative work (as opposed to applications) has been pooled with CIU's Conduct (CDT) and Redress Conduct (RDC) investigations. The table refers to the subject solicitors named on files closed in the last 6 months. This will enable further analysis concerning investigative outcomes.

The subjects of Tribunal matters closed have been replaced with those opened as this provides a more up-to-date picture of solicitors being referred to the Tribunal. Solicitors subject to Section 12 of the Solicitors Act 1974 who have had an initial decision made in the last 12 months as to whether their Practising Certificate will be restricted are also shown.

The 'Mixed / Unknown' category has now been split into its two constituent parts.

	Population of Solicitors*	Subjects of CDT, RDC & REG investigations	Tribunal Referrals	New Section 12 Applications
ETHNICITY				
Asian / Asian British	5.4%	8.9%	7.7%	14.0%
Black / Black British	1.6%	5.2%	7.0%	6.8%
Chinese / other Asian group	0.9%	0.9%	1.0%	1.0%
Mixed	0.4%	0.4%	0.3%	0.0%
Unknown	13.6%	14.7%	15.7%	14.3%
White / European	78.0%	69.9%	68.3%	63.8%
GENDER				
F	44.0%	25.0%	19.2%	22.5%
M	56.0%	75.0%	80.8%	77.5%
AGE				
30 or below	19.0%	5.2%	1.7%	1.4%
31 - 40	35.1%	22.0%	17.4%	25.3%
41 - 50	24.5%	33.6%	35.5%	33.4%
51 - 60	15.8%	28.2%	34.1%	28.0%
61 or over	5.1%	9.4%	9.4%	10.2%
Unknown	0.5%	1.6%	1.7%	1.7%
TOTAL NUMBERS	112063	3554	287	315

* Population of practising solicitors as at 31 October 2007

Last month's findings in the area of gender for CDT, RDC and REG investigations were repeated again this month. While 75% of the subjects are male and 25% female, of those 2666 men under investigation, allegations were upheld against just 32.5% of them, which is in line with 31.1% of the 888 women under investigation also having allegations upheld against them.

The CIU Unit opens a file for all allegations of misconduct received (CDT and RDC files). The subjects of these files therefore provide an indication of those about whom we are receiving intelligence, and this is not affected by our own assessment of the information received until the outcome stage, as all allegations are logged on our computer system. Over the last 6 months, 74% of the 1670 subjects of new conduct allegations were male and 26% female. These solicitors comprise 1% of the female solicitor population and 2% of the male solicitor population.

This early analysis indicates an apparent disproportionate impact on male solicitors arising at the front end of our regulatory process where intelligence is first received and assessed. There are several factors that could contribute to this disproportionality including the source and nature of intelligence received, the types of complaints we receive and the way in which we analyse risk, but further analysis will be required in this area.

Appendix 2: Resources HRD, Budget Report

Monthly HRD Update

- As at 31st October 2007, the FTE for the SRA was 510.27 with 90.59 vacancies. (There are 7 fixed-term temps and 66.60 FTE agency and contractors sitting against those vacancies).
- The budget FTE is 600.86.
- 258 delegate hours were spent on training in September, which includes 12 new staff members undergoing SRA Induction.

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

Budget Report

Direct costs summary for the ten months ending 31 October 2007.

Account Description , £'000	Approved Budget	YTD Budget	YTD Actual	YTD Variance	Variance %
Gross and Net Expenditure					
Gross Expenditure	30,679	24,594	22,407	2,187	8.89%
Total Staff Expenditure	26,373	21,968	20,543	1,425	6.49%
Paybill	24,758	20,596	19,377	1,219	5.92%
Other Staff Costs	1,615	1,372	1,166	206	15.00%
Staff & Admin Recoveries	(11,716)	(9,780)	(7,452)	(2,329)	23.81%
Total Non-Staff Expenditure	16,023	12,407	9,316	3,091	24.91%
INCOME	(6,030)	(5,403)	(6,112)	708	-13.11%
Net Expenditure	24,649	19,191	16,295	2,896	15.09%
Total Departmental Charge	24,649	19,191	16,295	2,896	15.09%
Breakdown of Net Expenditure by Business Area					
Chief Executive's Office	1,646	1,311	602	709	54.06%
Information	963	525	(248)	773	147.22%
Standards	941	566	425	140	24.78%
Regulation Response	4,358	3,601	3,263	338	9.39%
Investigation	5,731	4,779	4,540	239	5.00%
Legal	1,065	881	987	(106)	-12.04%
Client Protection	2,819	2,265	3,086	(821)	-36.22%
Resources	891	697	654	43	6.19%
Policy	3,726	3,079	2,319	760	24.69%
SRA Change Programme	2,510	1,487	667	820	55.16%
Total SRA	24,649	19,191	16,295	2,896	15.09%

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

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

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

For the plan year 2007/08, the LSCC requires reporting on the individual contributions of both the SRA and the LCS towards the overall targets.

The headline performance shown here is the SRA contribution.

	Current month	Year to date	LSCC Target	Variance from target
Strategic priority 1 : improving the speed with which complaints are handled				
Target T1 Number of live cases open for 12 months or more				
	83	N/A	By 31 March 2008 no more than 65 RDC cases open	40 (There are 43 RDC)
Target T2 Cases closed within 3 months of receipt				
Within 3 months	83%	77%	76%	1%
Strategic priority 2 : improving the quality of complaints handling				
Target Q6: Percentage of referrals to the LSO that are upheld				
	85%	82%	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	-7.2%	-7.2%	-5% to 0%
Target P2: All resources to support the delivery of the plan			
Target P2	-10.5%	-10.5%	-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 4: Glossary of terms

Terms used in this document:

CAI	Conduct Assessment & Investigation Unit, old name for CIU
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
RCA	Remuneration Certificate Application
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, 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