



Solicitors
Regulation
Authority

SRA Summary of Performance Measures and Statistics

September 2007

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Headlines

Headline Statistics for September 2007

- **Solicitors Disciplinary Tribunal** orders recorded by the SRA have increased by 15% year on year. The number of solicitors suspended from practice in the last 12 months has increased by 50%. 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 on target at 6 months. There are currently 203 matters in progress where proceedings have not yet been issued. ► *see page 5*
- The **Practice Standards Unit** conducted an intensive programme of visits in Newcastle around the time of the SRA Roadshow. ► *see page 7*
- The **Regulation Unit** has seen a 17% decrease in the number of decisions to intervene made in the last 12 months as compared with the 12 months leading up to September 2006. Referrals to the SDT have increased by 12% over the same period. ► *see page 8*
- In the **Conduct Assessment & Investigation Unit** there has been a 24% 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 69% down on this time last year and the number of outstanding applications to the fund now stands at just 67% of the peak level seen in February this year. ► *see page 10*
- All 40 **Interventions** effected in the last 12 months relate to firms of 4 or less partners. 82% were sole practitioners. Overall, numbers of interventions are down on last year. ► *see page 10*
- **Information Services** are now answering all written and email correspondence within target, but just 32% of calls were answered within 30 seconds last month. Recent recruits are currently undergoing training and significant improvements to the service level for calls are expected in the new year. ► *see page 11*
- **Equality & Diversity** reporting is currently under review. Early analysis around gender shows that while 75% of the subjects of Regulation and CAI's investigations are male and 25% female, there is little difference between the genders in terms of outcome. Allegations are upheld against 31% of male solicitors and 30% of female solicitors. We will develop and undertake monitoring and analysis in other areas such as ethnicity and age to see whether a similar pattern emerges. ► *see page 13*

Legal Solicitors Disciplinary Tribunal Decisions

The **Solicitors Disciplinary Tribunal (SDT)** is the independent Tribunal that adjudicates upon alleged breaches of the rules of professional conduct for solicitors. The SDT has the power to strike a solicitor from the roll, suspend a solicitor from practising and to apply fines and reprimands.

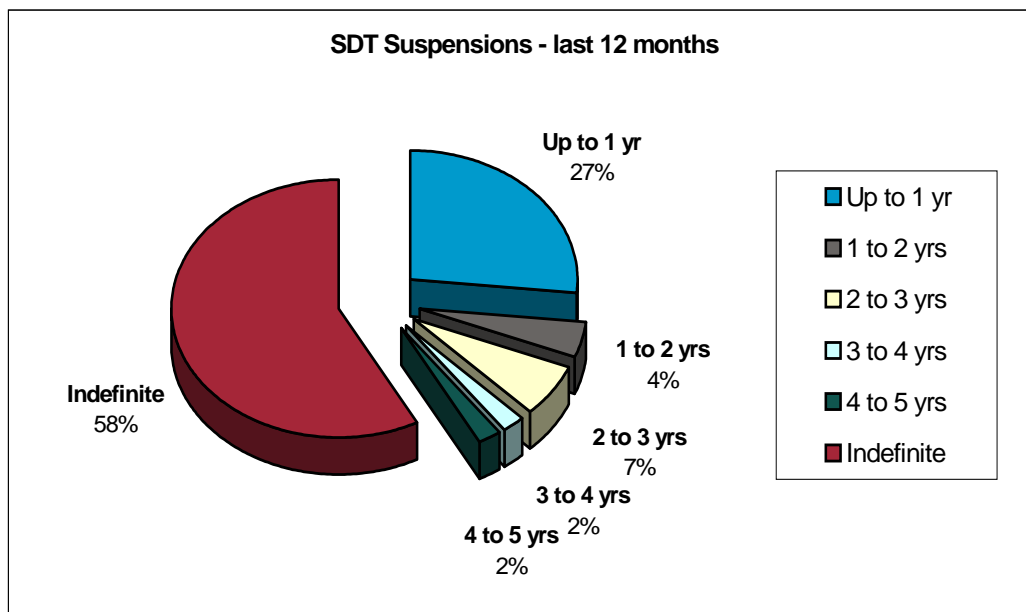
Orders made by the SDT are recorded by the SRA when they come into effect, which in most cases is immediately, but in a few cases there is a time lapse before the order comes into effect.

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

| SDT Orders | 12 Months to | | Variance | Monthly Average to Sept 07 |
|--------------|--------------|------------|-------------|----------------------------|
| | Sept 06 | Sept 07 | | |
| Fined | 73 | 97 | +33% | 8 |
| Struck Off | 70 | 76 | +9% | 6 |
| Suspended | 30 | 45 | +50% | 4 |
| No Order | 9 | 6 | -33% | 1 |
| Other | 62 | 56 | -10% | 5 |
| TOTAL | 244 | 280 | +15% | 23 |

A breakdown of the suspensions recorded in the last 12 months is shown below. The majority are indefinite suspensions, with over 60% of fixed-period suspensions lasting up to one year.

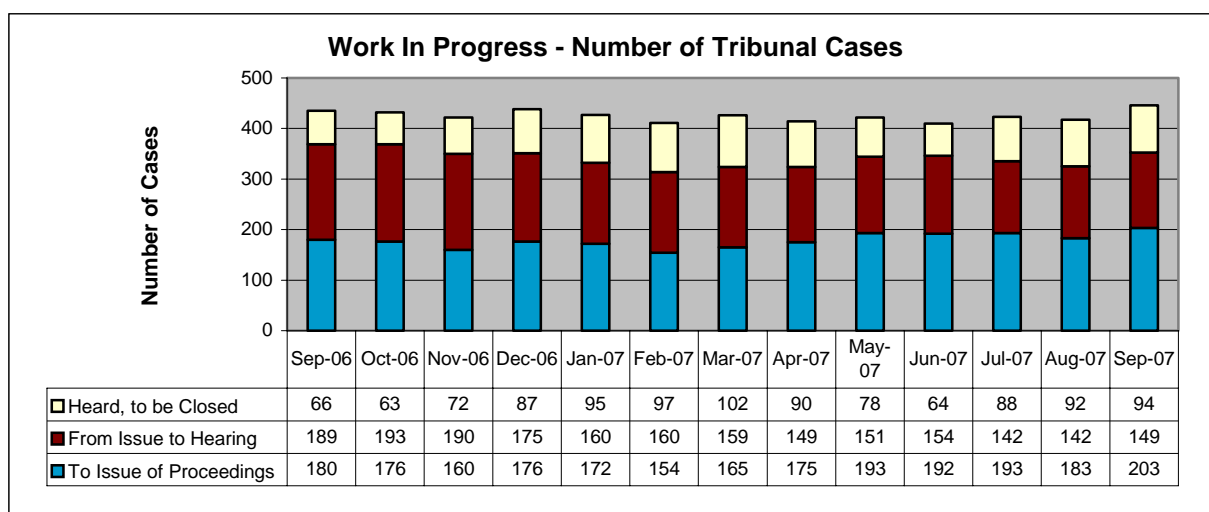
The maximum suspension period issued in the last 12 months was 5 years, against an average of 1.7 years.



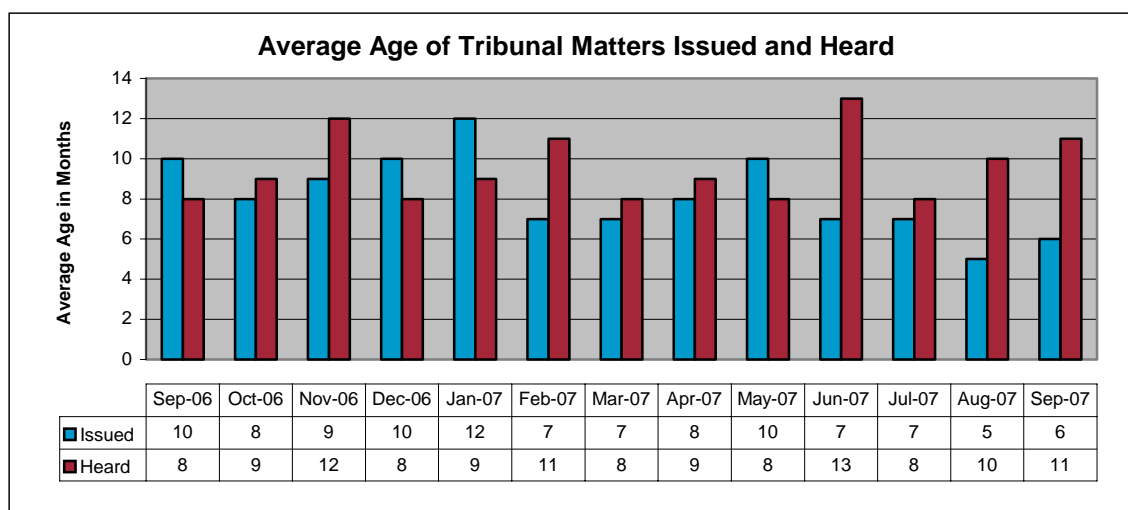
Legal Prosecutions

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 Sep-06 | To Sep-07 | Variance | Monthly Average |
| New Cases | 293 | 312 | +6% | 26 |
| Closed Cases | 221 | 302 | +37% | 25 |



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

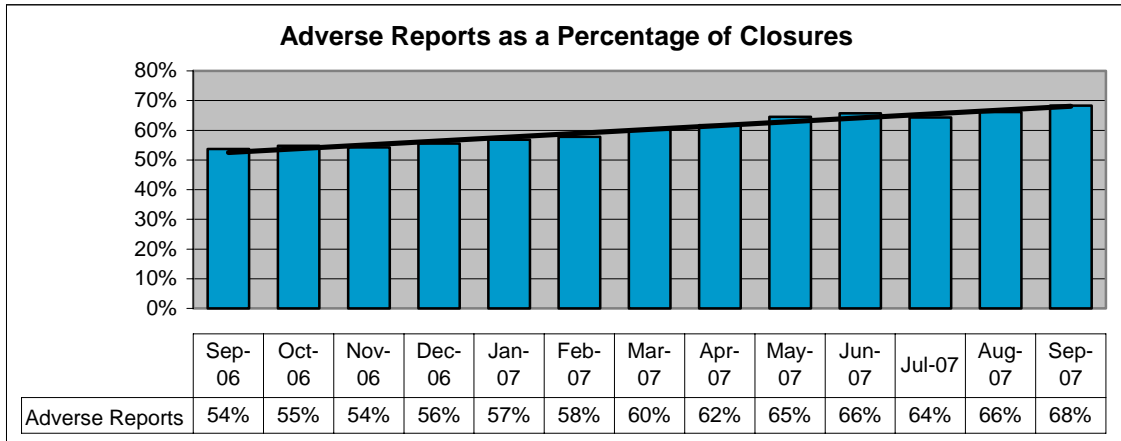


A new TRI matter is created when the decision is made to refer the matter to the SDT. The Disciplinary Team's target is to issue proceedings within 6 months of creation of that TRI matter. The SDT, in turn, aims to hear matters within 6 months of issue. Previous reporting measured the age at issue of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

Inspection & Investigation

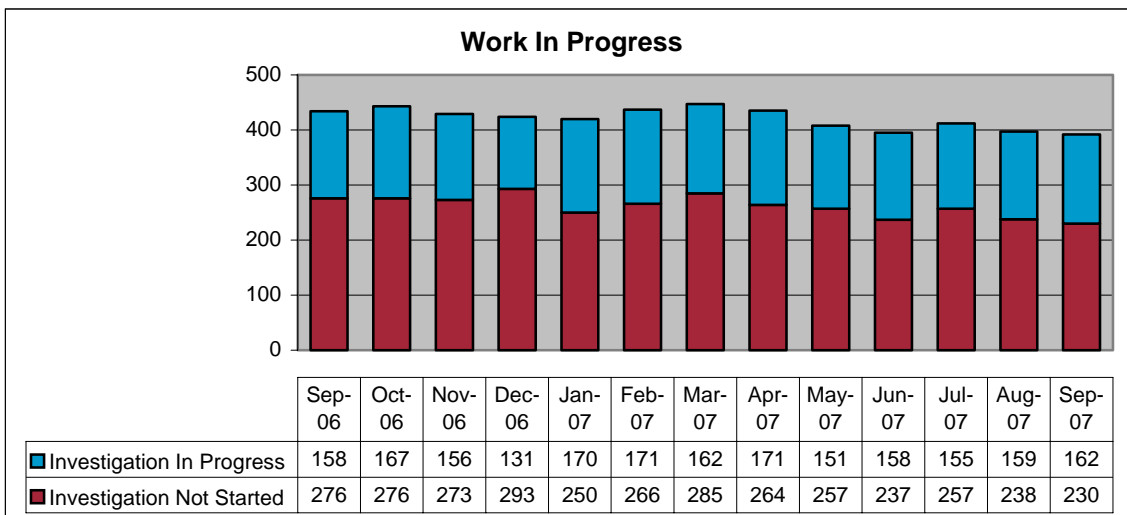
Forensic Investigations

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



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

| | 12 Months | | | |
|---------------------------------|-----------|-----------|----------|-----------------|
| | To Sep-06 | To Sep-07 | Variance | Monthly Average |
| New Investigation Files Created | 445 | 410 | -8% | 34 |
| Closed or Rescinded | 500 | 445 | -11% | 37 |



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 Year to Date | To Sep-06 | To Sep-07 | To Sep-07 Target | Variance to Target |
|--|-----------|-----------|------------------|--------------------|
| Full Risk Profiles Completed | 837 | 1033 | 810 | 28% |
| Total Visits Completed | 861 | 699 | 760 | -8% |
| Client Care Seminars | 12 | 1 | 1 | 0% |

Total visits completed are 8% 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. Visits made during September are 36% up on the month's target due to an intensive programme of visits being conducted by the Unit in Newcastle around the time of the SRA Roadshow. Profiles for the year are up by 28% 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 by the LCS relating to miners' compensation issues.

| Visit Outcome Grade | Sep-06 | Oct-06 | Nov-06 | Dec-06 | Jan-07 | Feb-07 | Mar-07 | Apr-07 | May-07 | Jun-07 | Jul-07 | Aug-07 |
|-------------------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|------------|
| A | 7 | 6 | 11 | 2 | 5 | 4 | 4 | 3 | 7 | 5 | 3 | 8 |
| B | 53 | 66 | 50 | 15 | 60 | 52 | 34 | 30 | 27 | 51 | 57 | 31 |
| C | 30 | 29 | 26 | 9 | 20 | 15 | 11 | 14 | 18 | 19 | 13 | 15 |
| D | 4 | 7 | 3 | 3 | 2 | 2 | 2 | 4 | 3 | 1 | 1 | 6 |
| No Grade | 0 | 0 | 0 | 0 | 0 | 0 | 9 | 8 | 10 | 3 | 0 | 0 |
| Awaiting Grade | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 4 | 16 |
| % Grade C or D * | 36% | 33% | 32% | 41% | 25% | 23% | 25% | 35% | 38% | 26% | 18% | 28% |

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 for internal purposes only is made based on the findings and areas of weakness. In the last 12 months an average of 28.7% firms received a grade C or D.

| No. of Visited Firms where Referrals Have Been Made to Other Units | | | | | | | | | | | | |
|---|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|--------|
| | Sep 06 | Oct 06 | Nov 06 | Dec 06 | Jan 07 | Feb 07 | Mar 07 | Apr 07 | May 07 | Jun 07 | Jul 07 | Aug 07 |
| Formal Referrals | 5 | 6 | 3 | 4 | 2 | 7 | 3 | 5 | 4 | 7 | 5 | 8 |
| as % of Visited Firms | 5% | 6% | 3% | 14% | 2% | 10% | 5% | 8% | 6% | 9% | 6% | 11% |
| Intelligence Referrals | 8 | 10 | 9 | 3 | 4 | 8 | 4 | 7 | 1 | 5 | 0 | 5 |
| as % of Visited Firms | 9% | 9% | 10% | 10% | 5% | 11% | 7% | 12% | 2% | 6% | 0% | 7% |

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 for consideration of issues which may not require disciplinary action but of which they need to be aware. The average percentage in the last 12 months of those firms being formally referred is 6.6%.

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

Regulation Response Regulation Unit

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

| REGULATION MATTER DECISIONS IN THE LAST 12 MONTHS | To Sept 06 | To Sept 07 | Variance | Monthly Average to Sept 07 |
|--|---------------|---------------|------------|----------------------------------|
| PC Conditions | 1419 | 1856 | +31% | 155 |
| Intervention | 109 | 90 | -17% | 8 |
| Referral for Disciplinary Proceedings | 340 | 381 | +12% | 32 |
| Vest Discretion | 247 | 226 | -9% | 19 |
| Accountants Reporting Issues | 320 | 219 | -32% | 18 |
| Finding/Warning/Rebuke/Reprimand | 758 | 775 | +2% | 65 |
| No Action | 327 | 374 | +14% | 31 |
| Other | 361 | 285 | -21% | 24 |
| Costs Directions | 402 | 384 | -4% | 32 |
| TOTAL | 3881 | 4206 | +8% | 351 |

Note: Although there has been a significant increase in decisions relating to PC conditions in the 12 months to September 2007, approximately 22% of the additional applications were in respect of 2 large multi-partner firms. In an exceptional occurrence, 2 large firms failed to comply with the regulations in respect of delivery of accountants reports. Consequently, the SRA can exercise discretion in respect of the Practising Certificate of each partner within those firms, and a Regulatory decision was required for each one.

In the last 6 months, the Regulation Unit have finalised 989 applications and concluded 941 investigations. Of those applications:

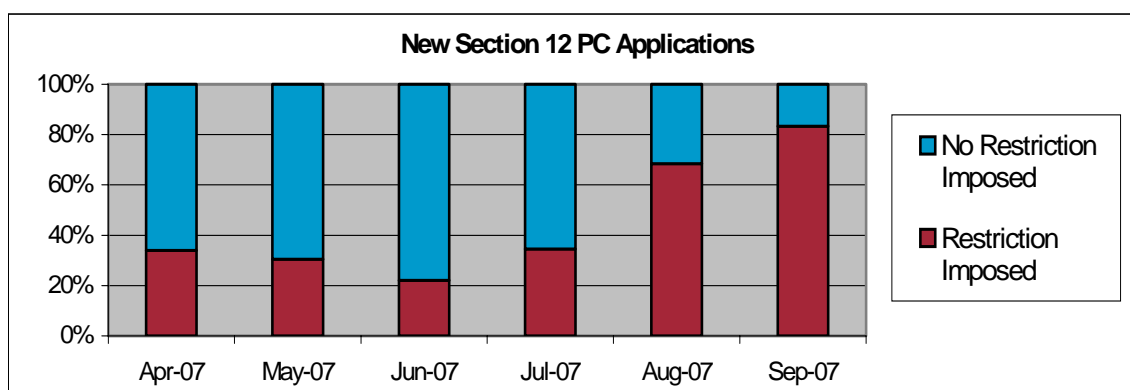
385 (39%) were non-Section 12 applications. This includes Section 41 and 43 applications relating to employment, and Accountants' reporting issues.

254 (26%) were existing Section 12 applications.

290 (29%) were new Section 12 applications.

(60 applications were withdrawn)

The allegations under investigation were upheld in **422 (45%)** cases. **150 (16%)** resulted in a referral to the SDT. **268 (29%)** were not upheld.



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

Over the last 6 months, 35% have resulted in a restriction on practice. There has been a high proportion of decisions to impose restrictions this month, although the actual numbers of new section 12 applications handled in August and September is at an annual low.

Regulation Response CAI

The **Conduct Assessment and Investigation Unit (CAI)** deals initially with all third party (non-client) complaints of misconduct received by the SRA, as well as referrals of conduct information from LCS. The table below reflects the transfer of all specialist redress work from CAI to LCS on 1st 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.

| CAI Outcomes | 12 Months | | | |
|-------------------------------|-----------------|-----------------|-------------|-----------------------------|
| | To September 06 | To September 07 | Variance | Monthly Average To Sep 07 * |
| Not Upheld | 5079 | 4157 | -18% | 346 |
| Excluded matters | 1014 | 445 | -56% | 37 |
| Required no regulatory action | 3849 | 3693 | -4% | 308 |
| Conciliated (service) | 216 | 19 | -91% | 2 |
| Upheld | 598 | 656 | +10% | 55 |
| Letter of Advice | 148 | 195 | +32% | 16 |
| Formal decision made | 450 | 461 | +2% | 38 |
| Referred to SDT | 0 | 85 | n/a | 7 |
| Other | 9 | 11 | +22% | 1 |
| TOTAL | 5686 | 4909 | -14% | 409 |

*Monthly average based on January '07 to date

There has been a 32% 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 24% 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 September 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

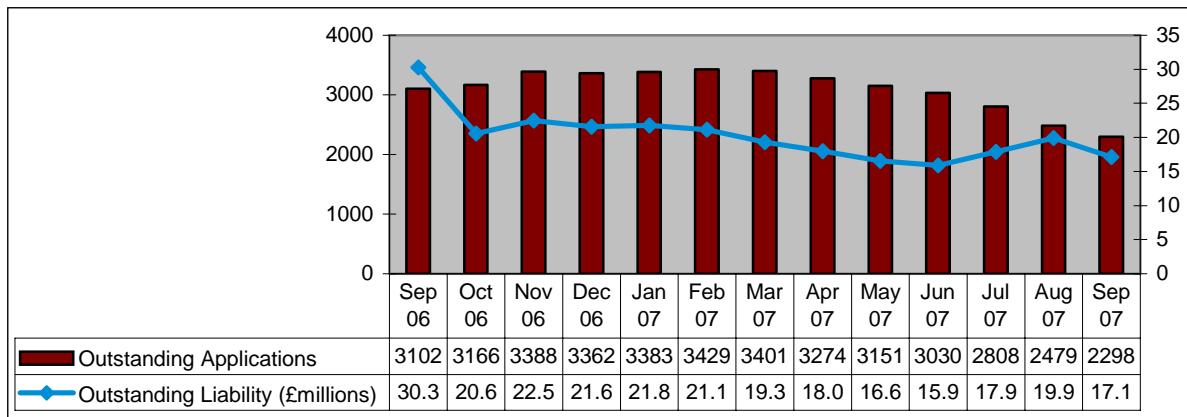
| Amounts in £ million | YTD | |
|-------------------------|----------------|-------------|
| | CLAIMED YTD | PAID YTD |
| Sept 07 | £10.1M | £8M |
| Sept 06 | £32.7M | £7.6M |
| Variation | -69% | 5% |

Ongoing Claims

| Amounts in £ million | VALUE OF OPEN CLAIMS | REJECTED | REVISED CLAIM * |
|-------------------------|-------------------------|--------------|--------------------|
| Sept 07 | £22M | £1.2M | £22.5M |
| Sept 06 | £41.4M | £1.3M | £44.3M |
| Variation | -47% | -8% | -49% |

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

Outstanding Liability



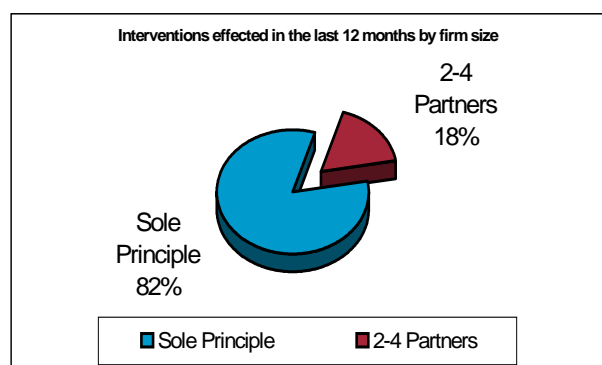
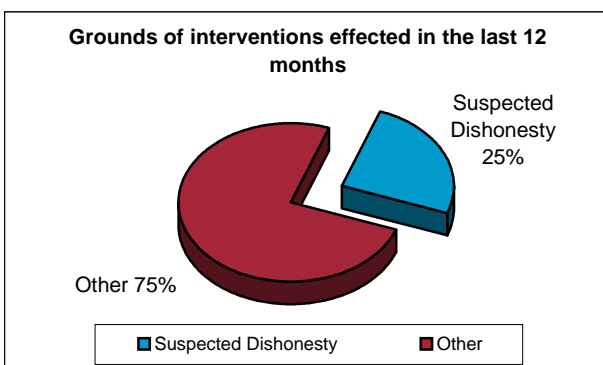
Following a sustained and steady increase over the twelve months prior to November 2006, the number of outstanding applications is continuing to decline. It now stands at just 67% of the peak seen in February.

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.

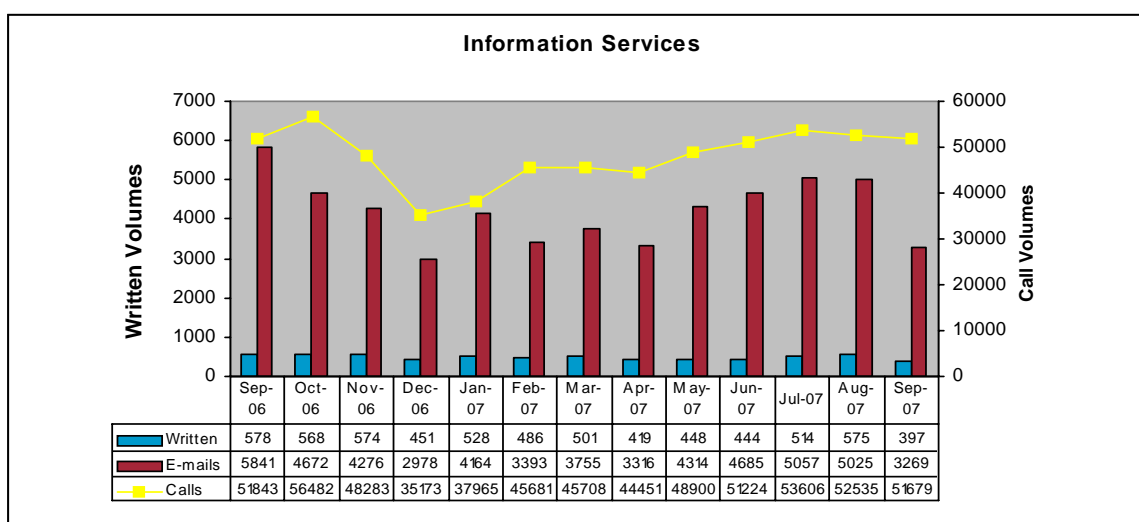
2 Interventions were effected this month, neither on the grounds of suspected dishonesty. Both were effected within target. The average number of interventions taking place each month during 2006 was 4.2. For 2007 year-to-date the monthly average is much lower at just 2.4. The charts below refer to the 40 interventions effected during the last 12 months.



Information

Information Services saw a drop in volumes of calls and correspondence received last month, as the annual peak is now tailing off. All written and email correspondence was dealt with within service level last month, but only 32% of calls were answered within 30 seconds.

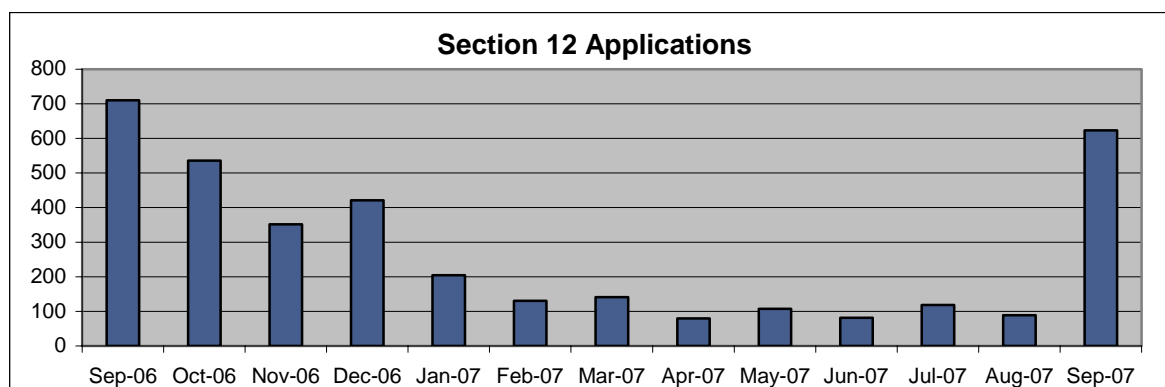
In March this year a business case was presented to recruit 16 FTE permanent staff in vacant posts in order to address the situation that 23% of the staffing resource that our service relies upon were temporary. This was approved and recruitment was completed by the end of May, with new staff joining the team in July. In the last 6 months, 1197 hours of training have been delivered to support both new and existing staff. The position now at the end of September is that 59% of staff are fully trained but they will require a full 6 months of experience on all lines before being classed as fully efficient. Our expectation with the current level of resource, planned training and skills is that due to the expected 30% increase in call volumes during the last quarter of the year, the telephony service level will continue to be within the region of 30% - 40% of calls being answered within 30 seconds. Since July, resource has been allocated effectively to ensure our written correspondence has been dealt with within our service level of 10 working days. We are on track with the expected levels of improvement outlined in March's business case. In 2008 we will have all staff trained across all skill sets which means we should be in a position to offer a consistent service level.



The **Registration Project Team** has begun the annual PC renewal exercise and have received the first applications from both firms and individuals for 2007/2008 Practising Certificates. Student enrolment has tailed off significantly this month, but overall, numbers enrolling are 4% up on January to September 2006.

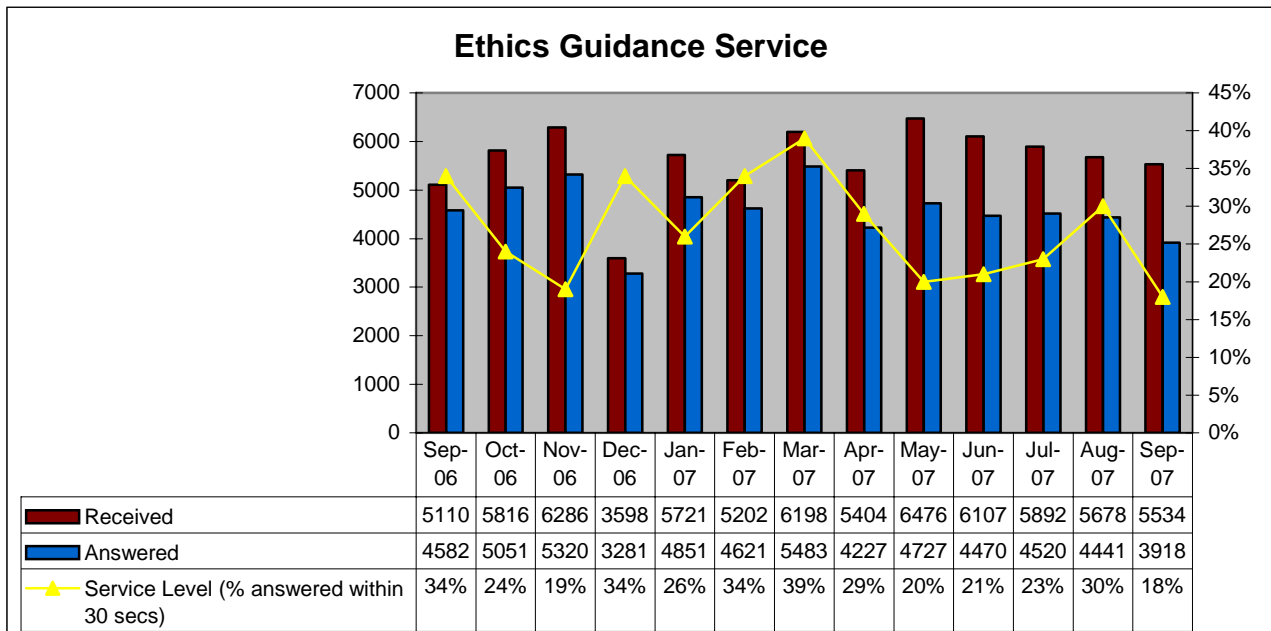
The **Customer Applications Team** has received just 55% of the number of applications for authorisation to take trainees this year that were seen in January to September 2006. QLTT applications have increased, with 16% more applications received this year as compared with January to September 2006.

The **Resolution Team** is entering its annual peak for dealing with applications from those subject to Section 12 of the Solicitors Act 1974 (see graph below). These must be concluded before PC renewal applications can be finalised for the individuals concerned.



Regulation Standards Ethics Guidance Service

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



The guidance team received 204 items of written or email correspondence in September, all of which were dealt with within service level.

There was a 2.5% decrease in the number of calls received by the guidance helpline in September as compared with the previous month, although this is an 8% increase compared to September 2006. 18% of calls received were dealt with within 30 seconds. 29% of calls into the helpline were abandoned before reaching an advisor.

Current low service levels are directly linked to a loss of experienced staff through retirement and, temporarily, through annual leave, which reduced the number of working hours available by over 100 across the whole month. This had an immediate and significant impact in such a small team.

The team has recently recruited to address this problem and two of the new starters will have completed sufficient training to be able to go on the helpline within the next month. Another two new starters are joining in October and they should be fully trained to answer calls on the helpline by January 2008.

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 Regulation Unit's investigative work (as opposed to applications) has been pooled with CAI'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.

Data is also included this month on 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.

| | Population of Solicitors* | Subjects of CDT, RDC & REG investigations | Tribunal Referrals | New Section 12 Applications |
|-----------------------------|---------------------------|---|--------------------|-----------------------------|
| ETHNICITY | | | | |
| Asian / Asian British | 5% | 9% | 6% | 15% |
| Black / Black British | 2% | 5% | 6% | 5% |
| Chinese / other Asian group | 1% | 1% | 0% | 1% |
| Mixed or Unknown | 14% | 15% | 15% | 15% |
| White / European | 78% | 70% | 73% | 65% |
| GENDER | | | | |
| F | 44% | 25% | 19% | 22% |
| M | 56% | 75% | 82% | 78% |
| AGE | | | | |
| 30 or below | 19% | 5% | 3% | 2% |
| 31 - 40 | 35% | 23% | 15% | 24% |
| 41 - 50 | 25% | 34% | 35% | 37% |
| 51 - 60 | 16% | 28% | 35% | 27% |
| 61 or over | 5% | 9% | 10% | 9% |
| Unknown | 1% | 1% | 2% | 1% |
| TOTAL NUMBERS | 111179 | 3506 | 271 | 315 |

* Population of practising solicitors as at 30 September 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 2636 men under investigation, allegations were upheld against just 31% of them, which is in line with 30% of the 870 women under investigation also having allegations upheld against them.

The CAI 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, 73% of the 1717 subjects of new conduct allegations were male and 27% 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 30th September 2007, the FTE for the SRA was 504.59 with 97.77 vacancies.
(There are 7 fixed-term temps and 56.53 FTE agency and contractors sitting against those vacancies).
- The budget FTE is 602.36.
- 84 delegate hours were spent on training in September.

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

Budget Report

| Account Description , £'000 | Approved Budget | YTD Budget | YTD Actual | YTD Variance | Variance % |
|--|-----------------|----------------|----------------|--------------|----------------|
| Gross and Net Expenditure | | | | | |
| Gross Expenditure | 30,679 | 21,136 | 20,280 | 856 | 4.05% |
| Total Staff Expenditure | 26,373 | 19,614 | 18,456 | 1,159 | 5.91% |
| Paybill | 24,758 | 18,518 | 17,409 | 1,109 | 5.99% |
| Other Staff Costs | 1,615 | 1,096 | 1,046 | 49 | 4.50% |
| Staff & Admin Recoveries | (11,716) | (8,712) | (6,631) | (2,081) | 23.89% |
| Total Non-Staff Expenditure | 16,023 | 10,234 | 8,456 | 1,778 | 17.37% |
| INCOME | (6,030) | (5,090) | (6,803) | 1,713 | -33.65% |
| Net Expenditure | 24,649 | 16,046 | 13,478 | 2,568 | 16.01% |
| Total Departmental Charge | 24,649 | 16,046 | 13,478 | 2,568 | 16.01% |
| Breakdown of Net Expenditure by Business Area | | | | | |
| Chief Executive's Office | 1,646 | 1,130 | 575 | 555 | 49.12% |
| Information | 963 | 394 | (1,484) | 1,878 | 476.43% |
| Standards | 941 | 221 | 372 | (150) | -67.94% |
| Regulation Response | 4,358 | 3,192 | 2,876 | 316 | 9.89% |
| Investigation | 5,731 | 4,232 | 4,065 | 167 | 3.95% |
| Legal | 1,065 | 771 | 892 | (122) | -15.80% |
| Client Protection | 2,819 | 1,816 | 2,929 | (1,113) | -61.31% |
| Resources | 891 | 600 | 576 | 25 | 4.09% |
| Policy | 3,726 | 2,714 | 2,124 | 590 | 21.75% |
| SRA Change Programme | 2,510 | 975 | 553 | 422 | 43.25% |
| Total SRA | 24,649 | 16,046 | 13,479 | 2,568 | 16.00% |

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 | | | | |
| | 102 | N/A | By 31 March 2008 no more than 65 RDC cases open | 55 non-RDC (there are 47 RDC) |
| Target T2 Cases closed within 3 months of receipt | | | | |
| Within 3 months | 76% | 76% | 76% | 0% |
| Strategic priority 2 : improving the quality of complaints handling | | | | |
| Target Q6: Percentage of referrals to the LSO that are upheld | | | | |
| | 73% | 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 | -9.0% | -9.0% | -5% to 0% |
| Target P2: All resources to support the delivery of the plan | | | |
| Target P2 | -7.3% | -7.3% | -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 |
| 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 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 (handled by the LCS), and complaints of misconduct |
| CRB | Criminal Records Bureau |
| CRO | A service complaint |
| 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 the Regulation Unit |
| 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
0-12 months = 0-365 days

0-6 months = 0-183 days
0-18 months = 0-548 days

0-9 months = 0-274 days