

**EQUALITY, DIVERSITY
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Equality, Diversity and Inclusion Strategy - Progress Update

Purpose

- 1 The purpose of this paper is to update the Committee on the progress made against the Equality, Diversity and Inclusion (EDI) strategic action plan.

Recommendations

- 2 The Equality, Diversity and Inclusion Committee is asked to:
 - a) Note the progress made in meeting Objective One, in particular the delivery of an Inclusive Leadership programme for SRA staff, Board and Committees.
 - b) Note the progress made in meeting Objective Two, in particular the regulation of smaller firms and review of Chapter 2; and
 - c) Note the progress made in meeting Objective Three, in particular our work with the Law Society, plans for diversity data collection from firms in 2015 and webinar delivered around the benefits of diversity monitoring and using the diversity toolkit.

If you have any questions about this paper please contact:

Leah Lee, Senior Business Partner at leah.lee@sra.org.uk on 0121 329 6008, in relation to the actions identified under EDI Objective One.

Richard Collins, Executive Director at richard.collins@sra.org.uk on 0121 329 6344, in relation to EDI objectives Two and Three.

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Equality, Diversity and Inclusion Strategy - Progress Update

Background

- 1 We published the SRA Equality, Diversity and Inclusion (EDI) Strategy 2014/17 on 20 November 2014. The EDI Strategy is supported by an action plan for 2014/15 which is set out at **Annex 1**.
- 2 The action plan is set out under our three EDI objectives. The first EDI objective covers our staff and the actions are led by our group HRD function supported by the SRA EDI Team. The second and third EDI objectives concern the delivery of our regulatory functions and how we support those we regulate to achieve a more diverse and inclusive profession and these actions are led by the SRA EDI Team.

Update from previous actions

Update 1: Clarify the approach to the handling of public EDI papers

- 3 At its meeting on 3 March the EDI Committee asked for some further consideration of the confidential / public split of its work. Jane Furniss raised this with the Board and it will be given further consideration as part of a governance review which will take place later in the year.
- 4 In the meantime we are committed to considering as much in public as we are able to though we will need to consider each item on its merits. The report which provides an update on progress against the EDI Strategy should be made public.
- 5 Having reviewed the papers brought to the EDI Committee to date, including those on the agenda for 20 May 2015, there are four categories of paper that should not be made public by way of the committee agenda:
 - papers coming from or going to other committees that will eventually go to the Board and be made public via that route;
 - papers that will be published and are being considered in draft prior to publication;
 - papers that reflect early thinking on a project or will facilitate policy development which, when developed, will be brought back to Committee or Board for approval and publication; and
 - papers where the subject matter is clearly internal (such as a detailed breakdown of staff survey results).
- 6 We would like to see two sets of minutes for each meeting, one public and one confidential.
- 7 We will now proceed to publish, on the SRA website, the agenda, public meeting minutes, and public papers from the first three EDI Committee meetings of 2015 and proceed as outlined

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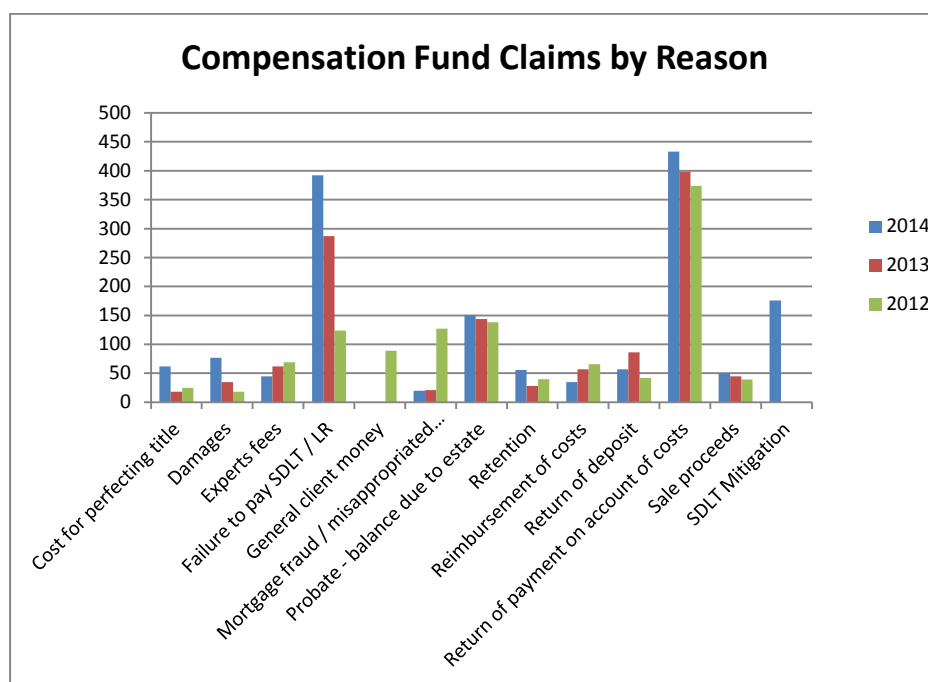
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above for the meeting on 20 May 2015 and going forward until the governance review on this matter has concluded.

Update 2: (a) Information on the Compensation Fund for the number of claims made against the Compensation Fund and for which category type?

8 The chart below shows the number of claims made in the last 3 years (2012 – 2014) for the category type where more than fifty claims were made in any one year. The highest number of claims have been made against the following three categories:-

- Failure to pay stamp duty land tax / land registry fees (SDLT / LR)
- Probate – balance due to estate
- Return of payment on account of costs



9 The stamp duty land tax (SDLT) was an additional category introduced in 2014.

10 89 claims were made against the category type 'General client money' in 2012. In subsequent years, this category was broken down further into a number of different categories and this is why no further information is available under 'General client money' for 2013 and 2014.

11 The other categories where fewer than 50 claims were received that are not therefore shown on the chart are as follows:

- Breach of undertaking

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- Counsel fees
- Fraud conveyancing
- Fraud (other)
- Gross overcharging
- Investment fraud
- Ratification
- Tax avoidance scheme
- Theft of client money
- Uninsured firm (compensation by LeO, loss due to failure to register, loss due to negligence non conveyancing, loss due to negligent conveyancing, unredeemed mortgage)

Update 2: (b) A diversity breakdown of those making claims against the Compensation Fund?

- 12 The diversity data on those making claims is unreliable and therefore we are not currently able to report on this. We are looking to identify where the data gaps are and will provide this information to the Committee in the next few weeks.

Progress in meeting Objective One

- 13 This section sets out the most recent updates from the HRD team against the actions under Objective One in the EDI Action plan:

Develop a more diverse workforce and promote an inclusive culture, equality of opportunity for all staff and the behaviours and capabilities required to regulate proportionately, fairly and free from bias.

Diversity of applicants to the SRA Board and Committees - Action 1.3

- 14 The process of recruiting a diverse pool of applicants to the SRA Board and Committees is under development. Actions will include advertising in a variety of media sources and ensuring that the application, shortlist and interview process is clear and objective.
- 15 Initial discussions are taking place about Board and Committee recruitment for 2015. The need to attract the most diverse range of applicants possible will be at the heart of this work and further information will be provided to the Committee in due course.

SRA equality and diversity training needs - Action 2.4

- 16 Employers Network and Inclusion (enei) are developing and delivering a mandatory bespoke Inclusive Leadership programme for the SRA. Enei have met with staff, managers and members of the senior management team (and will meet with the Committee on the 20 May) to undertake a series of familiarisation sessions to ensure the learning programme that will be run later this year is fit for purpose and aligned to SRA's organisational priorities.

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- 17 Enei will take the information from the sessions held and build this into a learning programme for all employees. This will include identifying the current levels of knowledge and understanding, existing good practice and both current and future challenges around equality.
- 18 The programme will aim to deliver the training to SRA Board and Committees during quarter 3 and 4.
- 19 A programme of training on managing unconscious bias in decision making will be available in the second half of the calendar year, with 6 sessions aimed at decision making staff, and others who have not already attended the previous unconscious bias training provided in 2011/ 2012.
- 20 Bespoke training on 'Unconscious bias and assessing for equality impact' has been developed for the Regulation and Education and Legal and Enforcement teams and will be delivered in June 2015. The training will aim to ensure that equality and diversity is embedded at the beginning of policy development or process change. It will also aim to deliver a detailed overview of equality and diversity in the decision making process and will explain how to assess for equality and diversity when analysing and dealing with complex cases.
- 21 The project group is making good progress in developing training for staff in dealing with vulnerable stakeholders: proposals for a training module have been obtained from two providers (Samaritans and MIND); planning is ongoing to identify numbers and whether we need to provide different levels of training for different staff groups; and we are looking to develop overarching staff guidance based on the training.

Progress in meeting Objective Two

- 22 This section sets out the most recent updates from the EDI team against the actions under Objective Two in the EDI Action plan:

Ensure that the way we operate, our rules and the decisions we make are proportionate, fair and free from bias and help firms and individuals understand and comply with our requirements

Regulatory Reform Agenda - Action 6.2

- 23 Further development on the small firms project includes the creation of a small firms team operating across both Supervision and Authorisation. Work is also taking place to further engage with small firms and sole practitioners through focus groups, the virtual reference group and stakeholder engagement.
- 24 The total number of calls received by the small firms ethics helpline from January - April 2015 was 1434. The data on the size of firm calling into the helpline is shown below.

Size of firm	Number of calls
Partner / In House	275

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1 Partner / Sole Practitioner	339
2 – 4 Partner / Partner Equivalent	453
5 – 10 Partner / Partner Equivalent	179
11 – 25 Partner / Partner Equivalent	74
26 – 80 Partner / Partner Equivalent	69
81 + Partner / Partner Equivalent	45

25 The top 5 categories on which callers call for advice are:

- accounts rules
- practising certificates
- indemnity insurance
- general advice and guidance
- ways of practising.

26 An assessment of equality impact is being undertaken on the Separate Business Rule, Accounts Reports and Accounts Rules, Client Protection and Indemnity insurance and the Small Firms project.

Progress in meeting Objective Three

27 This section sets out the most recent updates from the EDI team against the actions under Objective Three in the EDI Action plan:

To work with those we regulate to support them in achieving a more diverse and inclusive profession

Working with the Law Society and other representative bodies – Action 12.1

28 Aseia Rafique met with the Ethnic Minority Lawyers Division (EMLD) and Jerry Garvey from the Law Society and it was agreed that the SRA would work collaboratively on a number of joint events with TLS with support from EMLD.

Promoting diversity in the profession - Action 12.2

(b) Collecting law firm diversity data in 2015

29 We have reviewed all the options and a new internal web based solution has proved to be the most timely, cost effective and straightforward. The cost has been approved and the business case is being finalised, with an estimated start date for the reporting period to be available from mid August 2015. We will provide firms three months to report their firm data and hope to be in position to collate and report the data before the end of the calendar year.

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Supporting information

Links to the SRA Business Plan/ EDI Action Plan

30 Links to the specific actions in the EDI Action Plan are provided in the body of the paper.

How the action will be evaluated

31 The EDI strategy sets out more detail about how we will evaluate our performance against the EDI Action plan and an annual progress report will be published.

What equality and diversity considerations relate to this issue

32 The update report relates to the progress being made against the EDI strategy.

Author Leah Lee, Senior Business Partner and Aseia Rafique, Diversity and Inclusion Manager

Contact Details leah.lee@sra.org.uk on 0121 329 6008
aseia.rafique@sra.org.uk on 0121 329 6193

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Objective 1 - develop a more diverse workforce and promote an inclusive culture, equality of opportunity for all staff and the behaviours and capabilities required to regulate proportionately, fairly and free from bias.

No.	Activity	Responsibility	Delivery Date	RAG	Progress Update
1.	SRA BOARD AND GOVERNANCE				
1.1.	Recruit additional members to join the SRA Equality, Diversity & Inclusion (EDI) Committee. This will help us deliver the SRA's vision and strategy for diversity and inclusion and compliance with our equality duties and provide external insight and challenge to our approach.	Pamela Harding / Jane Furniss	January 2015	Completed	We have now successfully recruited 6 new Committee members: Caroline Armitage, Mike Franklin, Ruth Grant, Uday Dholakia, Sophie Khan, and Jemima Coleman. They attended their first Committee meeting on the 13 January 2015. 4 of the 6 had an induction session on 3 March. Alternative arrangements are being planned for the remaining two members.

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1.2.	Review the work of the SRA Board and the other SRA committees, to ensure that equality, diversity and inclusion is fully integrated into their business and decisions.	Richard Collins	December 2014	On track	The template for papers for SRA Board and all Committees require an assessment of equality impact. The process for initiation, drafting and approval of Board and Committee papers has been reviewed and a new protocol should be in place by mid-June. This will include ensuring that E&D issues have been properly considered and the EDI team has discussed how this might work with the Board Secretary.
1.3.	Take steps to attract a wide and diverse range of candidates when vacancies arise on the SRA Board, committees and the adjudication panel to continue to make the SRA a more diverse organisation at all levels.	Pamela Harding	January 2015	On track	The diversity breakdown of the applicants for the recent Board and EDI Committee recruitment was reported to the EDI Committee on 3 March 2015. We will use the data and feedback from the recent exercise to inform the next Board recruitment exercise. Initial discussions are taking place about Board and Committee recruitment for 2015. The need to try to attract the most diverse range of applicants possible will be at the heart of this work and further information will be provided to the committee in due course.

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1.4.	Develop and deliver a mandatory bespoke Inclusive Leadership module for all members of the SRA Board and committees in addition to the required training on equality, diversity and inclusion to support our strategy and ensure understanding of our equality duties.	Pamela Harding	April 2015	On track	Employers Network for Equality and Inclusion (Enei) have been appointed to take forward this work. ENEI have met with executive directors and the leadership group at the SRA. They also met with groups of staff to tailor the training sessions they will deliver on equality, diversity and inclusion. Enei will build their findings into the programme. The programme will run during quarter 3 and 4 with delivery dates being reviewed to align with Board and Committee availability.
2.	STAFF TRAINING & DEVELOPMENT				
2.1.	Develop and deliver a mandatory bespoke Inclusive Leadership & Unconscious Bias programme for the CEO, Executive Directors and Leadership team to support them in providing visible leadership in this area.	Pamela Harding	July 2015	On track	As above

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2.2.	Develop and deliver a mandatory Inclusive Leadership & Unconscious Bias programme for line managers and employees to support our vision for diversity and inclusion and improve the confidence and skills of our managers to lead a diverse workforce. This will also support employees to feel confident in raising any concerns and to understand their own responsibilities in the workplace.	Pamela Harding	October 2015	On track	As above
2.3.	Deliver an E-learning diversity and inclusion training course to be completed by all SRA staff to provide a baseline of knowledge in respect of diversity and inclusion, dignity at work and unconscious bias.	Pamela Harding	November 2014	Completed	E- learning module delivered in 2014.
2.4.	Each SRA directorate will assess any additional equality, diversity and inclusion training needs of their staff in fulfilling their specific role within the SRA, particularly those involved in decision making in the light of the ICCR report. A training plan will be developed and training delivered to SRA staff to cover these additional training needs and the impact of the training will be evaluated.	Richard Collins	November 2014 and ongoing Evaluate impact by December 2015	On track	We have collated a list of equality and diversity training needs for the SRA. This is now being taken forward with L&D and will be fed into the work ongoing about technical training needs of the SRA. Executive Director Robert Loughlin has agreed to sponsor a particular training project around working with vulnerable stakeholders. Bespoke EIA and unconscious bias training for Policy and Regulation and Legal and Enforcement will take place in June 2015.

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2.5.	Provide sessions to support for the Employee Forum and Business Champions regarding their role in supporting the SRA's diversity and inclusion vision and strategy.	Pamela Harding	April 2015	On track	A recruitment campaign for the Employee Forum members commenced in April due to low numbers of staff currently sitting on the forum and to ensure representation across the SRA.
2.6.	Provide recruitment and selection training to all hiring managers so they are confident in their ability to manage recruitment and selection in an objective and evidenced based way, recognising unconscious bias and how to eliminate it from the process.	Pamela Harding	December 2014 and on-going	On track	HRD pilot training sessions took place in February. Planned launch of the training and scheduled dates for staff are being scheduled. The Learning and Development calendar is currently being consulted on with a view to finding a suitable time in which to schedule courses. Provisional dates have been booked.
3.	STAFF ENGAGEMENT & COMMUNICATION				
3.1.	The CEO will act as the Diversity and Inclusion Champion for the SRA to demonstrate and deliver senior level commitment in this area.	Paul Philip	October 2014 and ongoing	On track	The CEO leads the work of the Business Champions across the SRA. EDI is embedded into the Business Champions work programme. The CEO actively promotes this work e.g. by endorsing the recent LGBT month in February, events scheduled as part of International Women's day in March and Mental Health Awareness week in May. Events to raise awareness on a variety of religions have also taken place e.g. recent visits to the synagogue and a session on the Sikh festival of Vaisakhi.

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3.2.	Diversity and inclusion to be a fixed monthly agenda item at the SMT, Leadership Team meetings, Employee Forum and Business Champion meetings to help us maintain momentum and focus in achieving our vision and strategy.	Paul Philip	October 2014 and on-going	On track	Progress against the strategy is now being reported to SMT on a monthly basis. This is also a fixed item on the Employee Forum agenda.
3.3.	A diversity and inclusion performance objective will be set for members of the SMT and Leadership team to demonstrate visible leadership in support of our vision and strategy for diversity and inclusion.	Paul Philip	January 2015	-----	Discussion with SMT and leadership team about the need to change this action as it does not provide a SMART way of measuring output or performance. In addition the SRA has a set of values and behavioural competencies which are core to the organisation and underpin all staff objectives. SMT have agreed not to put a specific E & D objective in PDRs. The measurement of assessing against EDI will be taken into account when reviewing the outcome of individual objectives.

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3.4.	SRA internal events for staff will be held, with internal and external speakers across a broad range of areas to provide an environment of open discussion and build awareness and understanding of a range of diversity and inclusion issues.	Pamela Harding	Minimum of 1 talk per quarter, commencing December 2014	On track	HRD and the EDI team have developed an internal events calendar for the year. Events to mark LGBT history month, International Women’s Day, Pride and religious festivals have been held from February – April, with further events on health and well-being planned for this month. Future events include but are not limited to: June – National Carers week and Pride London, July – Disability Awareness week, September – National work / life week, October – Black History month, December – cultural awareness month.
3.5.	Research the viability of establishing employee networks for the purpose of providing expertise and learning to inform key policy and service developments and to provide options / recommendations to SMT.	Pamela Harding	April 2015	On track	Through events and engagement there has been a groundswell of support from staff for the establishment of networks. Staff have formed LGBT, Women’s, Disability and Christian networks. We are engaging with these groups to identify how best to take forward their development and how they can best engage with the organisation and what support they may want and be able to offer. Proposals will go to SMT in May with a further report made to EDI.

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3.6.	Deliver Pulse (mini) organisation-wide Employee Engagement survey which demonstrate improvements in outcomes and review departmental action plans across the SRA.	Pamela Harding	December 2014	On track	A second annual full survey is anticipated to be delivered in September / October 2015
3.7.	Deliver a second Equality, Dignity & Respect at Work survey which demonstrate improvements in outcomes.	Pamela Harding	October 2015	-----	This action is to be reviewed in light of the work HRD is undertaking and whether a second survey is actually required.

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4. STAFF DIVERSITY MANAGEMENT INFORMATION					
4.1.	Conduct an exercise to gather and cleanse diversity data for a minimum of 90% of our staff in order to produce an accurate set of workforce data.	Pamela Harding	October 2014	Completed	<p>Following the recent diversity data collection exercise we now have diversity data for:</p> <ul style="list-style-type: none"> • Gender - 100 per cent of staff before and 100% after the exercise; • Ethnicity - 94 per cent before and 98 per cent after; • Age - 100 per cent before and after; • Religion - 66 per cent before and 85 per cent after; • Sexual Orientation - 68 per cent before and 86 per cent after; • Disability - 73 per cent before and 92 per cent after. <p>Although we did not meet the target of 90% for sexual orientation and religion, there was an increase across the board and lessons have been learn about improving response rate for the next exercise.</p>

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4.2.	Provide SMT with six monthly reports outlining patterns and trends in respect of workforce diversity in relation to applications, short-listing, hires and internal promotions. This will inform the development of any positive action initiatives to address under representation.	Pamela Harding	April 2015 and every six months First paper to SMT in May 2015	On track	A report / outline of some of the key points and recommendations from our internal diversity data statistics will be taken to SMT in May 2015.
5.	BESPOKE HR ACTIVITIES				
5.1.	Recruitment pages of the SRA website to be reviewed to help ensure all diverse groups such as Black African - Caribbean, LGB and disabled people are attracted and apply for roles.	Pamela Harding	TBC	Completed	This is linked to a piece of work which is on SRA branding. This has been completed and is visible on the website.
5.2.	HRD to provide interventions and expert support for management as and when required so any concerns are proactively addressed before they have a negative impact on individuals and teams.	Pamela Harding	On-going	On track	HRD staff are working with the SRA on actions following on from the Dignity at Work survey and Pulse survey and from actions arising from the Supervision Report.

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Objective 2 - ensure that the way we operate, our rules and the decisions we make are proportionate, fair and free from bias and help firms and individuals understand and comply with our requirements.

No.	Activity	Responsibility	Delivery Date	RAG	Progress Update
6.	REGULATORY REFORM AGENDA				
6.1.	Publish a discussion paper of proposals for the more proportionate regulation of smaller firms to inform our regulatory reform agenda, both in relation to any changes required to our formal regulatory requirements and the way we supervise and engage with smaller firms.	Crispin Passmore	December 2014	Completed	Deadline for responses to the discussion paper was 4 February 2015. 14 responses were received in total which included substantive responses from the Law Society and the Sole Practitioners Group. All respondents welcomed the initiatives launched and the proposal for a small firms team and noted that the initiatives were excellent foundations for building upon good communication with small firms. The proposal to allow deemed approval of COLP/COFA in certain circumstances in small firms was supported, though there were suggestions for a review of the proposed definition of a small firm. A dedicated team within Supervision will provide specialist support for small firms.

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6.2.	Pursue our programme of regulatory reform (as set out in our Corporate Strategy) to ensure our regulation is more targeted and proportionate, including an assessment of the impact on equality for each of the proposals.	Crispin Passmore	Ongoing	On track	We are taking account of the consultation responses received and formulating a plan for small firm engagement that delivers policy objectives and fits within our supervision strategy. SMT will be discussing this shortly with a view to engaging with the Board as part of our response to the consultation and finalising our position on small firms more widely.
6.3.	Review and update our published Enforcement Strategy and make clear how we use our regulatory tools so the profession better understands our approach to supervision and enforcement.	David Middleton	May 2015	On track	This has been presented to the Executive Policy Forum on 7 May 2015 and will then go to the Regulatory Risk Committee on 7 July 2015 and if necessary will go to Board on 15 July 2015.

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7. SUPPORT IN MEETING PRINCIPLE 9					
7.1.	Review the outcomes in chapter 2 of the Code of Conduct so the profession has a better understanding of the outcomes expected for compliance with Principle 9.	Crispin Passmore	October 2015	On track	The Regulatory Reform Programme in which the changes to Chapter 2 are included opened for consultation on 16 April 2015. A new Outcome (Outcome 2.6) is proposed that requires solicitors to have in place appropriate arrangements for monitoring, reporting and publishing workforce diversity data. Comments on the proposal to clarify the current requirements for the recording and reporting of diversity data need to be submitted by 11 June 2015. Proposed further changes to be captured as part of the Handbook review for 2016.
7.2.	Monitor and publish information about the reports received in relation to Principle 9.	Richard Collins	May 2015	Likely to be delayed	We will be capturing this information and including it as part of the annual report of progress against the EDI action plan for 2014/15 which is likely now to be published early in 2016 to align it with the SRA annual reporting deadlines.

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8. REGULATORY DECISION MAKING					
8.1.	Embed equality and diversity in our decision making framework and supporting processes.	Juliet Oliver	July 2015	In progress but the work is likely to extend beyond July 2015	The Executive Policy Forum has approved a proposal to review the existing decision-making criteria to identify gaps and areas which require updating, and develop additional overarching guidance for decision-makers. We propose to consider developing tools (such as checklists of relevant factors/criteria) which enable the quality assurance team to audit the quality and content of the decisions we make.
8.2.	Implement the decision making framework and train staff in its use.	Juliet Oliver	September 2015	In progress but the work is likely to extend beyond July 2015	As above
8.3.	Develop and establish a revised and improved quality assurance function and processes so as to demonstrate that our regulatory decisions are fair, consistent and free from bias.	Richard Collins	August 2015	In progress but the work is likely to extend beyond July 2015	As above

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8.4.	Review our decision making criteria and approach to writing regulatory decisions to ensure clarity and transparency in explaining how decisions are reached.	Juliet Oliver	October 2015	In progress but the work is likely to extend beyond July 2015	As above
9.	DIVERSITY MONITORING OUR REGULATORY WORK				
9.1.	Review our approach to diversity monitoring of our regulatory work to ensure we are monitoring all key areas of our decision making to identify any disproportionality. We will publish an annual report and at least 2 additional reports looking in more detail at an agreed area of disproportionality.	Richard Collins	Annual report in May 2015	Likely to be delayed	The first draft of the report was considered by the Executive Policy Forum and a number of questions were raised which means that the draft report will now be brought to the EDI Committee on 14 July and published by the end of that month.
			Additional reports in January and October 2015	On track	The report 'Firms reported to the SRA' in 2013' was recently published at the disproportionality in regulation seminar on 27 April 2015. The report comparing QLT and non QLT individuals involved in regulatory activity came to EDI Committee on the 3 March and requires further work. The report will be brought back to the EDI committee in July 2015.

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10. ENGAGEMENT WITH THE REGULATED POPULATION AND OTHER STAKEHOLDERS					
10.1.	Review how Supervision engages with the profession and the purpose of our engagement to assess the impact of our approach on the profession.	Robert Loughlin	April 2015	-----	Supervision is completing its review that will enable consistent, fair and timely delivery of actions. This action is therefore under review and further discussions with Robert Loughlin are under way.
10.2.	Engage with all sectors of the regulated community, specifically with equality groups representing the profession, about our risk criteria (which define the relative seriousness of regulatory events that are referred to us) so as to ensure that they are robust and understood by the profession.	Robert Loughlin	October 2015	On track	These are now core to how policy reform projects are working. We are, over the next three months, codifying our approach to policy development and that will include appropriate equality assessment and engagement. We will take a tailored approach depending upon the project and proposals. Some will require wide engagement and more detailed equality assessment; others will need a more short form approach. Our overriding reform programme is centred on making the legal market work more effectively for consumers of all sorts so the choice of projects is itself focused partly on issues of access, choice and growth.

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10.3.	Develop a specialist approach to supervision and engagement with small firms in line with our policy on proportionate regulation.	Robert Loughlin	April 2015	On track	Through Supervision, small firms would be able to (a) access advice when they need it, and (b) see a swifter resolution of any regulatory issues that arise. A dedicated supervision team has been created to support engagement with small firms.
10.4.	Review our approach to stakeholder engagement, including with equality groups representing the profession about all areas of our work and implement our new engagement plans.	John Dickinson-Lilley	January 2015	In progress but delayed	We have met with a number of equality groups to re-establish engagement and to date we have met with Junior Lawyers Division, British Nigeria Law Forum, Asian Solicitors GB and the Ethnic Minority Lawyers Division . A coordinated approach to engagement is being developed in consultation with both the Policy and Communications team. An update will come to EDI Committee on 14 July 2015. Delayed to ensure the equality stakeholder work is coordinated and developed alongside the wider engagement work which is in progress.

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10.5.	Hold more regular events/ workshops with the profession to promote understanding of how we work - each directorate to consider potential areas to cover, working where we can in partnership with other groups or organisations.	Jane Malcolm	Ongoing to October 2015	On track	Joint event with the Law Society and the Legal Ombudsman being planned for October 2015 around meeting the needs of vulnerable consumers. A number of events and workshops have been held to date which include a webinar on 'criminal legal aid' and a webinar on 'getting authorised'. Also included in our engagement has been a joint event with LexisNexis on Alternative Business Structures.
10.6.	Hold a seminar with other regulators and academics to discuss disproportionality in regulation.	Richard Collins	May 2015	Completed	The seminar took place on 27 April 2015. A summary report will come to the EDI Committee on 20 May 2015.
11.	COMPLAINTS ABOUT THE SRA				
11.1.	Ensure that all staff are provided with an appropriate level of training on handling complaints of discrimination.	Rachel Pillinger	October 2015	On track	Training covering an overview of complaints handling as well as specifically handling complaints of discrimination is provided jointly by the Complaints and EDI teams. 4 sessions to Authorisation have taken place to date with further sessions for Authorisation booked at the beginning of June. We have also timetabled sessions for other directorates throughout July, August & September. An e-learning package is also being developed.

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11.2.	Take steps to raise awareness of our complaints handling policy among our stakeholders at an early stage in our dealings with them.	Rachel Pillinger	September 2015	On track	Since our last update we have now reviewed initial letters sent to stakeholders in most units and reviewed some of the correspondence used in Supervision, Forensic Investigations and Claims Management. We will review letters in Authorisation in May 2015. Through our complaints handling training (see above 11.1) we remind staff of the importance of identifying complaints at an early stage and ensuring stakeholders are aware of our comprehensive procedure to address concerns.
11.3.	We will consider if and how we can introduce diversity monitoring of those raising complaints against the SRA to provide a richer understanding of what our complaints data is telling us.	Rachel Pillinger	January 2015	On track	The position remains the same as our previous update. We will track the diversity data for regulated individuals who complain from January 2015 and report at the end of the year. As for complaints from members of the public we are not collecting data at this time, previous exercises showed limited responses rates and some complaints.

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Objective 3 - to work with those we regulate to support them in achieving a more diverse and representative profession.					
No.	Activity	Responsibility	Delivery Date	RAG	Progress Update
12.	DIVERSITY IN THE PROFESSION				
12.1.	Work with the Law Society, other representative bodies, firms and solicitors to identify ways to improve the co-ordination of efforts to improve diversity within law firms.	Richard Collins	January 2015 onwards	On track	Working with the Law Society EDI team to support their review on the D&I Charter in January 2015. The two EDI Committees will meet in November 2015.
12.2.	Provide the profession with a range of information and tools to help them promote diversity in the profession, including: a diversity data benchmarking tool for law firms; a paper and a webinar on diversity in the profession; and guidance for the profession on publishing diversity data.	Richard Collins	December 2014 for the bench marking tool and paper	Completed	Published to the profession on 19 December. The tool was presented to the LDD at our recent meeting in May 2015 and to approved regulators at the meeting with LSB in March 2015 and cited in an article by Steven Vaughan published on 1 April.
			January 2015 for the webinar	Completed	79 registered, 59 attended. Only 3 exit survey responses – but 3.7 out of 5 for usefulness, two ratings of 5/5 and one rating of 1/5). Feedback – one comment only: “It was all very clear and well presented, thanks.”
			March 2015 for the publishing guidance	Delayed	A draft guide has been prepared and is being finalised for publication on the website within the next few weeks.