

CLASSIFICATION – PUBLIC

SRA REGULATORY RISK COMMITTEE
Minutes of the Public Meeting on 24 February 2015 at 11.30am
The Cube, Wharfside Street, Birmingham

Present: Cindy Leslie (Chair)
Julia Black
Diane Moore
Paul Marsh
Amanda Sherlock

In attendance: Michael Candy, Jenny Johnson, Robert Loughlin, David Middleton, Juliet Oliver, Gordon Ramsay, Carol Westrop and Nabila Zulfiqar.

1&2. Chair's welcome, apologies and minutes of the meeting held on 17 December 2014

1.1 Apologies were received from Shamit Saggar, Paul Marsh, Steve Wilmott and David Nix.

1.2 The minutes of the public session of the Committee held on 17 December 2014 were agreed.

Matters Arising

1.3 The Committee noted that, following discussion with the LSB Consumer Panel and having agreed the terms under which firm data would be provided, the SRA has been providing data on a weekly basis to one comparison website. A number of other websites are also currently in discussions with the SRA.

3. Declarations of interest

3.1 There were no declarations of interest.

4. Committee's Terms of Reference and work plan 2015

4.1 The Committee noted its new terms of reference that had now been approved by the SRA Board.

4.2 The Committee noted the proposed workplan for 2015 and noted the intention to include in the workplan reports from Adjudication and Client Protection on the work being undertaken in those functions.

5. Schedule of Delegation 2015

5.1 The Committee noted that the proposed paper on the Schedule of Delegation in Authorisation will now be scheduled for the Committee's next meeting on 8 April.

6. Report from Legal and Enforcement

- 6.1 The Committee considered an update on the work being undertaken in the Legal and Enforcement Directorate. It noted that one case had so far been issued under the new ambitious KPIs, operational since January 2015. The number of SDT referrals and requests for legal advice was continuing to increase. The function was currently under resourced due to maternity leave and extended sick leave. Further staff have, however, been recruited or will be seconded from March.
- 6.2 65% of disciplinary cases are being dealt with in house. Due to the current pressure on resource some recent cases have been outsourced. The Committee was informed there are 56 unissued cases: 70% in the 0- 4 month period, 23% in the 5-8 month period and the remainder are 9+ months old. There is ongoing case tracking to monitor throughput. The Committee asked to be kept informed of the number and age of unissued cases and suggested that going forwards thought should be given as to a KPI focusing on this important aspect. The Committee also thought that a review of information tracking progress up to the end of an SDT case would also be useful, although the Committee was aware that once a case is issued the timetable is largely under the control of the SDT.
- 6.3 The Committee was informed about the injunction obtained against Dixit Shah to prevent him from acting as a solicitor or controlling, managing or being employed or remunerated by the practice of a solicitor or any body regulated by the SRA without permission from the SRA. Dixit Shah has lodged an appeal.
- 6.4 A review of the Enforcement Strategy is ongoing and will be completed by May.

Action: The revised strategy will be presented to the next Committee meeting.

7. AOB

- 7.1 There was no other business and no report required from the confidential session.

Next meeting: 11.30am, 8 April 2015 at the SRA's offices at 24 Martin Lane, London, EC4.