

CLASSIFICATION – PUBLIC

SRA REGULATORY RISK COMMITTEE
Minutes of the Public Meeting on 7 July 2015 at 11.30am
The Cube, Wharfside Street, Birmingham

Present: Cindy Leslie (Chair)
Diane Moore
James King
Paul Marsh

In attendance: Robert Loughlin, David Middleton, Gordon Ramsay, Carol Westrop and Nabila Zulfiqar.

1&2. Chair's welcome, apologies and minutes of the meeting held on 8 April 2015

- 1.1 Apologies were received from Amanda Sherlock and Shamit Saggur.
- 1.2 The minutes of the public session of the Committee held on 8 April 2015 were agreed, subject to amending the date in paragraph 4 to 2015.

3. Declarations of interest

- 3.1 There were no declarations of interest.

4. Matters arising

- 4.1 The Committee was informed that the SDT Users Group meeting attended by the Head of Legal was continuing to prove productive. Initiatives and proposals are being shared and discussed with a view to improving the efficiency of the progress of cases at the SDT, such as the approval of agreed outcomes by the SDT on paper rather than at a full hearing.

5. Report from Legal and Enforcement

- 5.1 The Committee noted a report from Legal and Enforcement regarding the work undertaken in their function and the improvement in performance against the timeliness KPIs. The volume of work continues to increase, in particular, requests for legal advice. The legal team are now advising Supervisors on their investigation plans and the type of action that may be taken. This is a significant additional responsibility and will have longer term benefits for the directorate as investigations will be at a more advanced stage when received by the legal team. Also there will be improvement in cross-team working. The Committee noted that the new KPIs on timeliness were more informative, but they still do not take into account that some cases were of such complexity that because of the time required, they could distort overall performance. It was agreed that this would be borne in mind for the future.

6. Report from Adjudication and on decision making in that function

- 6.1 The Committee noted the report from the Chief Adjudicator provided an overview of the structure of the function, the type of work undertaken and the quality assurance and training programme.
- 6.2 The Committee was interested in the outcome of appeals against decisions made by Adjudication to the High Court or SDT. It was reported that there is one current case that is currently being appealed to the SDT. A hearing date is awaited. There are no current High Court appeals. The Committee was told that it is rare for the decision of an Adjudication panel to be overturned but when this happens a lessons learnt exercise is always carried out.
- 6.3 The Committee requested similar updates from Adjudication on a periodic basis given the important risk function it carries out.

7. AOB

- 7.1 There was no other business.

Next meeting: 11.30am, 7 October 2015 : SRA, 24 Martin Lane, London, EC4.