

## Solicitors Regulation Authority - Regulatory performance assessment

REGULATORY APPROACH					AUTHORISATION					SUPERVISION				ENFORCEMENT						WELL-LED					
1	2	3	4	5	1	2	3	4	5	1	2	3	4	1	2	3	4	5	6	1	2	3	4	5	6

Met		Not met – action being taken		Not met – action required	
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### Action being taken

<b>Outcome</b>	<b>A5: The regulator's list of those they regulate is accessible, accurate and provides information on the disciplinary records of those regulated.</b>
<b>Action</b>	SRA to ensure that the register of those they regulate is easily accessible and contains information on all disciplinary action taken against individuals or entities.  SRA to complete the development of its new digital register to including, improvement of its accessibility and inclusion of solicitors' disciplinary records.
<b>Timing</b>	SRA to complete this work by the end of 2019. LSB will review SRA's progress in respect of register's accessibility and inclusion of disciplinary records in May 2019.
<b>Outcome</b>	<b>S3: The regulated community are monitored to provide assurance that standards are met. If they are not, steps are taken to remedy this.</b>
<b>Action</b>	SRA to implement changes identified in its advocacy review programme to address advocacy quality risks.
<b>Timing</b>	SRA currently considering how to implement changes identified in its advocacy review programme. LSB will review SRA's progress in May 2019.

<b>Outcome</b>	<b>WL3: The regulator is transparent about its own: decision-making; regulatory approach; the risks it and its regulated community face and how these are being mitigated; performance; regulated community and related markets; financial costs.</b>
<b>Action</b>	<p>(1) SRA to review current publication policy and ensure that supporting evidence for decisions taken by the Board or Executive which impact on the regulated community is published as soon as possible after decisions are taken. This should include Board papers which should only be withheld or have content removed in limited circumstances.</p> <p>(2) SRA to review the transparency of its performance information (e.g. KPIs and performance reports, complaints about the regulator etc.) and that this information should be published as soon as possible after Board consideration.</p>
<b>Timing</b>	LSB will review SRA's progress in meeting this objective in May 2019.