



## FACULTY OFFICE

### Key Performance Indicators (KPIs)

#### Inspections Regime 2021-2022

#### Background

For the period ending 2022, around 730 notaries held a practicing certificate. Out of these, approximately 20% were classed as high or moderate risk and 80% were low risk. Information on what is considered high risk is contained in our Assurance Policy which is available on our website [here](#).

Taking a risk-based approach, the majority of inspections were targeted to high-risk notaries with only a small number randomly selected from the low-risk category. In total, the Faculty Office selected 22 notaries for an inspection of which two retired, one sold his business and one contracted long covid so a total of 18 inspections were carried out.

#### Follow-up action

The figures below record the length of time taken by the Faculty Office to report, review and commence follow up on any issues identified within an inspector's report.

From the 18 inspections carried out, follow-up action was required in six cases of which only one was of high risk to the public. In this case the notary was suspended prior to receipt of the inspection report and continued to be suspended until he was struck off the Roll of Notaries.

Out of the remaining five cases requiring follow-up action, the Faculty Office did not achieve the target figures on three cases due to the following operational pressure at that time:

- staff absences
- staff skills and knowledge
- protracted and complex disciplinary cases
- prioritising work relating to Russian Sanctions

The following points should also be noted:

(1) That in the case of the longest period from receipt to review of the report, there was no finding of non-compliance.

(2) The case where there was the longest period from first review to follow-up action concerned a confusion in the notary's stationery which placed him at risk of double regulation.

#### Projections

The Faculty Office staff have implemented additional safeguards to address the impact of staff absences, which will have a positive impact on targets achieved for the period ending 2024.

<i>Days</i>	From inspection to receipt of the report <small>out of 18 inspections completed 2021-2022</small>	From receipt of the report to review <small>out of 18 inspections completed 2021-2022</small>	From first review to initial follow up action <small>out of 6 notaries requiring follow-up action</small>	From inspection to initial follow-up <small>out of 5 notaries requiring follow-up action</small>
<b>Target</b>	<b>14</b>	<b>14</b>	<b>14</b>	<b>56</b>
Shortest	1	3	1	20
Longest	37	134	70	153
Average	14	40	29	67
<b>Variance from target</b>	<b>0</b>	<b>+26</b>	<b>+15</b>	<b>+11</b>