

SRA Principles

[<https://www.sra.org.uk/solicitors/standards-regulations/principles/?docId=810276575>]

Introduction

The SRA Principles comprise the fundamental tenets of ethical behaviour that we expect all those that we regulate to uphold. This includes all individuals we authorise to provide legal services (solicitors, RELs and RFLs), as well as authorised firms and their managers and employees. For licensed bodies, these apply to those individuals, and the part of the body (where applicable), involved in delivering the services we regulate in accordance with the terms of your licence.

Should the Principles come into conflict, those which safeguard the wider public interest (such as the rule of law, and public confidence in a trustworthy solicitors' profession and a safe and effective market for regulated legal services) take precedence over an individual client's interests. You should, where relevant, inform your client of the circumstances in which your duty to the Court and other professional obligations will outweigh your duty to them.

The Principles and Codes are underpinned by our Enforcement Strategy [<https://www.sra.org.uk/sra/strategy/sub-strategies/sra-enforcement-strategy.page>], which explains in more detail our approach to taking regulatory action in the public interest.

This introduction does not form part of the SRA Principles.

The principles are as follows:

SRA Principles

You act:

- .1 in a way that upholds the constitutional principle of the rule of law, and the proper administration of justice.
- .2 in a way that upholds public trust and confidence in the solicitors [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>] ' profession and in legal services provided by authorised persons [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-person>].
- .3 with independence.
- .4 with honesty.
- .5 with integrity.
- .6 in a way that encourages equality, diversity and inclusion.



.7 in the best interests of each client

[\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#client) .

Supplemental notes

Made by the SRA Board on 30 May 2018.

Made under section 31 of the Solicitors Act 1974, section 9 of the Administration of Justice Act 1985 and section 83 of the Legal Services Act 2007.

SRA Principles

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Guidance (12)

Tags

Other regulation topics [\[https://www.sra.org.uk/solicitors/standards-regulations/index/#12884941492\]](https://www.sra.org.uk/solicitors/standards-regulations/index/#12884941492)

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Guidance

Guidance

Sexual Misconduct - Guidance [\[https://www.sra.org.uk/solicitors/guidance/sexual-misconduct/\]](https://www.sra.org.uk/solicitors/guidance/sexual-misconduct/)

Guidance about sexual misconduct allegations for those we regulate and complainants considering reporting allegations of sexual misconduct to us.

Convictions arising from matters of principle or social conscience - Guidance [\[https://www.sra.org.uk/solicitors/guidance/convictions-arising-social-conscience/\]](https://www.sra.org.uk/solicitors/guidance/convictions-arising-social-conscience/)

Guidance - To explain your obligations when you as a legal practitioner are convicted in relation to matters of principle or social conscience.

Professional duties during action taken by the Criminal Bar Association - Guidance [\[https://www.sra.org.uk/solicitors/guidance/duties-during-action-criminal-bar-association/\]](https://www.sra.org.uk/solicitors/guidance/duties-during-action-criminal-bar-association/)

Guidance - what the SRA's Standards and Regulations require when acting for clients who may be affected by industrial action taken by the Criminal Bar Association (CBA).

SRA Principle 2: public trust and confidence - Case studies [\[https://www.sra.org.uk/solicitors/guidance/sra-principle-2/\]](https://www.sra.org.uk/solicitors/guidance/sra-principle-2/)

Case studies: These case studies should be read in conjunction with the guidance on Principle 2 - public trust and confidence.

Public trust and confidence - Guidance [\[https://www.sra.org.uk/solicitors/guidance/public-trust-confidence/\]](https://www.sra.org.uk/solicitors/guidance/public-trust-confidence/)

Guidance: To explain when you are likely to be found to have breached your obligation under Principle 2 to act in a way that upholds public trust and confidence.

Acting with integrity - Guidance [<https://www.sra.org.uk/solicitors/guidance/acting-with-integrity/>]

Guidance: to help explain Principle 5 and the requirement to act with integrity.

Acting with honesty - Guidance [<https://www.sra.org.uk/solicitors/guidance/general-dishonesty/>]

Decision making: Understand how we approach the requirement to act with honesty found in Principle 4 and the test we apply when deciding if a person has acted dishonestly.

Conflicts of interest - Guidance [<https://www.sra.org.uk/solicitors/guidance/conflicts-interest/>]

Guidance: To help you to understand your obligations in relation to conflicts.

Confidentiality of client information - Guidance [<https://www.sra.org.uk/solicitors/guidance/confidentiality-client-information/>]

Guidance: To help you understand your obligation to keep clients' information confidential.

The SRA's approach to equality, diversity and inclusion - Guidance [<https://www.sra.org.uk/solicitors/guidance/sra-approach-equality-diversity-inclusion/>]

Guidance: To help you understand your obligations on equality, diversity and inclusion.

Topic guide: A guide to the application of Principle 1 [<https://www.sra.org.uk/sra/corporate-strategy/sra-enforcement-strategy/enforcement-practice/guide-application-principle-1/>]

This guidance sets out examples of circumstances in which consideration should be given to whether Principle 1 is engaged.

Money missing from client account - Warning notice [<https://www.sra.org.uk/solicitors/guidance/money-missing-client-account/>]

Warning notice: Relevant to all firms and individuals we regulate but is particularly relevant to you if you are a manager of a firm or a firm's COFA or COLP.
