

Search guidance - results

All topics

Sort by:

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Filter results

Understanding in-house solicitors professional obligations employer - Guidance (Draft)

[<https://www.sra.org.uk/solicitors/guidance/understanding-in-house-solicitors-professional-obligations-employer/>]

8 March 2024

Guidance: This draft guidance is to help your employer understand the regulatory duties and standards you must comply with as an in-house solicitor.

Not in effect

Internal investigations - Guidance (Draft)

[<https://www.sra.org.uk/solicitors/guidance/internal-investigations/>]

8 March 2024

To help all firms we regulate and all solicitors (wherever they work) understand and manage regulatory risks and issues associated with conducting an internal investigation.

Not in effect

Reporting concerns about wrongdoing when working in-house - Guidance (Draft)

[<https://www.sra.org.uk/solicitors/guidance/reporting-concerns-wrong-doing-working-in-house-guidance/>]

8 March 2024

To help you understand what we expect you to do when you are concerned about actions taken or decisions made by your organisation.

Not in effect

Identifying your client when working in-house - Guidance (Draft)

[<https://www.sra.org.uk/solicitors/guidance/identifying-client-working-in-house-guidance/>]

8 March 2024

This draft guidance is for in-house solicitors employed by organisations not regulated by the SRA.

Not in effect

Identifying your client when working in-house - Case study (Draft)

[<https://www.sra.org.uk/solicitors/guidance/identifying-client-working-in-house-case-study/>]

8 March 2024

This case study (Draft) should be read in conjunction with the Identifying your client when working in-house guidance.

Not in effect

Reporting concerns about wrongdoing when working in-house - Case study (Draft)

[<https://www.sra.org.uk/solicitors/guidance/reporting-concerns-in-house-case-study/>]

8 March 2024

Case studies (Draft) to illustrate how our expectations operate in practice

Not in effect

Sanctions regime - firm-wide risk assessments - Guidance

[<https://www.sra.org.uk/solicitors/guidance/sanctions-regime-firm-wide-risk-assessments/>]

23 January 2024

This guidance is aimed to help firms assess your exposure to risks associated with the UK's sanctions regime.

Client and matter risk assessments - Warning notice

[<https://www.sra.org.uk/solicitors/guidance/client-and-matter-risk-assessments/>]

18 October 2023

To help you understand your obligations and how to comply with them. We may have regard to it when exercising our regulatory functions

Immigration work - Warning notice

[<https://www.sra.org.uk/solicitors/guidance/immigration-work/>]

27 September 2023

Over a period of time we have also identified risks around solicitors producing poorly drafted applications, or advising their clients to pursue totally without merit appeals of Home Office decisions through the courts.

Supporting your client with interviews during external investigations - Guidance

[<https://www.sra.org.uk/solicitors/guidance/supporting-client-interviews-external-investigations/>]

26 September 2023

This explains your obligations when supporting your client in interviews with external agencies.

Proceeds of crime - Guidance

[<https://www.sra.org.uk/solicitors/guidance/proceeds-crime-guidance/>]

25 September 2023

How to prevent financial crime, understand the UK's proceeds of crime regime and what you need to do to comply with it.

Firm-wide risk assessments - Guidance

[<https://www.sra.org.uk/solicitors/guidance/firm-risk-assessments/>]

21 September 2023



Understand how firms subject to the money laundering regulations must comply with the requirement to have a firm wide risk assessment under regulation 18.

The SRA's approach to financial penalties - Guidance

[<https://www.sra.org.uk/solicitors/guidance/financial-penalties/>]

30 May 2023

A guide for our decision makers to assist them in arriving at an appropriate financial penalty for the individuals and firms we regulate.

Decision-making in disciplinary cases - Guidance

[<https://www.sra.org.uk/solicitors/guidance/decision-making-disciplinary-cases/>]

30 May 2023

This guidance is to help you understand how we make a first-instance decision in a disciplinary case and how we deal with an application for an internal review of that decision.

SRA investigations: health issues and medical evidence - Guidance

[<https://www.sra.org.uk/solicitors/guidance/sra-investigations-health-issues-and-medical-evidence/>]

16 May 2023

Guidance: to help you understand the approach we take to health issues which are raised by those we are investigating and the medical evidence we might ask for.

Workplace environment: risks of failing to protect and support colleagues - Guidance

[<https://www.sra.org.uk/solicitors/guidance/workplace-environment/>]

4 May 2023

Guidance on our approach where we consider that individuals and firms have failed to take appropriate steps to look after colleagues' wellbeing.

Workplace environment: risks of failing to protect and support colleagues -

Case studies

[<https://www.sra.org.uk/solicitors/guidance/workplace-environment-case-studies/>]

2 May 2023

Case studies to be read in conjunction with the guidance on workplace environment: risks of failing to protect and support colleagues

Publishing complaints procedure - Guidance

[<https://www.sra.org.uk/solicitors/guidance/publishing-complaints-procedure/>]

23 March 2023

The requirements under the Transparency Rules to publish information concerning your complaints procedure.

Improper use of client account as a banking facility - Warning notice

[<https://www.sra.org.uk/solicitors/guidance/improper-client-account-banking-facility/>]

1 March 2023

How to prevent your firm's client bank account being improperly used as a banking facility.

Improper use of client account as a banking facility - Case studies

[<https://www.sra.org.uk/solicitors/guidance/improper-use-client-account-banking-facility/>]

1 March 2023

Case studies to be read in conjunction with the warning notice on improper use of client account as a banking facility.

- 1 [[?page=1&query=&sort=](#)]
- 2 [[?page=2&query=&sort=](#)]

- [3](#) [?page=3&query=&sort=]
- [4](#) [?page=4&query=&sort=]
- [5](#) [?page=5&query=&sort=]
- [Next](#) [?page=2&query=&sort=]