

# SRA Update

Issue 104 - June 2022

- General updates [#tab\_9c901]
- Compliance updates [#tab\_9c902]

Welcome to the latest issue of SRA Update. In this edition, you will find details of how we intend to update our approach to issuing financial penalties, designed to make the process quicker and less burdensome for all involved. We are also keen to hear from you on issues such as how long details about disciplinary decisions against solicitors should remain in the public domain, and what our approach should be on regulating pre-paid funeral plans. You can also find out about the latest cybercrime trends, and let us know how the risk looks from your perspective.

Although new technology brings risks, it also creates significant opportunities. Please do join us for our face-to-face events in Brighton and Swansea looking at the practical use of technology and innovation. You can also find out about our upcoming webinars on anti-money laundering and the unbundling of services.

**Paul Philip**

Chief Executive

## *Have your say on our 2022/23 plans*

*[<https://www.sra.org.uk/sra/news/press/2022-press-releases/business-plan-consultation-2022/>]*

Have your say on our plans for the coming year by taking part in our 2022-23 Business Plan consultation. As well as outlining our planned activities for the year ahead, it also outlines how we intend to allocate our budget, what that means for our part of the practising certificate fee, as well as Compensation Fund contributions.

Read more about: Have your say on our 2022/23 plans

[<https://www.sra.org.uk/sra/news/press/2022-press-releases/business-plan-consultation-2022/>]

## *Updated plans on financial penalties announced*

*[<https://www.sra.org.uk/sra/news/press/2022-press-releases/financial-penalties-consultation-feedback/>]*

We have announced how we intend to move forward with plans to update our approach on issuing financial penalties to law firms and solicitors who



fall short of expected professional standards. More than 7,500 people engaged with last year's consultation. Find out how we've adapted our proposals in light of the feedback received.

Read more about: Updated plans on financial penalties announced

[\[https://www.sra.org.uk/sra/news/press/2022-press-releases/financial-penalties-consultation-feedback/\]](https://www.sra.org.uk/sra/news/press/2022-press-releases/financial-penalties-consultation-feedback/)

## ***Views wanted on pre-paid funeral plan regulation***

[\[https://www.sra.org.uk/sra/news/press/2022-press-releases/funeral-plans-discussion-paper/\]](https://www.sra.org.uk/sra/news/press/2022-press-releases/funeral-plans-discussion-paper/)

Due to changes in legalisation from 29 July, we need to consider the best way of making sure law firms involved in arranging pre-paid funeral plans are complying with new regulatory requirements. If you are involved – or interested - in this work, please read our short discussion paper outlining the issues and let us know what you think.

Read more about: Views wanted on pre-paid funeral plan regulation

[\[https://www.sra.org.uk/sra/news/press/2022-press-releases/funeral-plans-discussion-paper/\]](https://www.sra.org.uk/sra/news/press/2022-press-releases/funeral-plans-discussion-paper/)

## ***Feedback on publishing disciplinary details***

[\[https://www.sra.org.uk/sra/news/press/2022-press-releases/publication-policy-principles-consultation/\]](https://www.sra.org.uk/sra/news/press/2022-press-releases/publication-policy-principles-consultation/)

When should we remove details of our disciplinary decisions? We publish details of our decisions against solicitors so that the public and employers can find out about any misconduct or concerns. To make sure we are doing this in a fair and proportionate way, we are consulting on our approach. Find out more about the areas on which we would like your views.

Read more about: Feedback on publishing disciplinary details

[\[https://www.sra.org.uk/sra/news/press/2022-press-releases/publication-policy-principles-consultation/\]](https://www.sra.org.uk/sra/news/press/2022-press-releases/publication-policy-principles-consultation/)

## ***Tell us about changing cybercrime and tech risks***

[\[https://www.sra.org.uk/sra/news/press/2022-press-releases/tell-us-about-changing-cybercrime-and-tech-risks/\]](https://www.sra.org.uk/sra/news/press/2022-press-releases/tell-us-about-changing-cybercrime-and-tech-risks/)

Our updated cybercrime risk outlook shows that email remains a significant vulnerability for law firms, while new risks around ransomware and new

scams, mean firms need to take all reasonable steps to protect themselves. We also want to hear more about your experiences through our survey about cybercrime and innovation.

Read more about: Tell us about changing cybercrime and tech risks

[<https://www.sra.org.uk/sra/news/press/2022-press-releases/tell-us-about-changing-cybercrime-and-tech-risks/>]

### ***Update your diversity data***

[<https://www.sra.org.uk/sra/news/press/2022-press-releases/update-your-diversity-data/>]

If you have a mySRA account, please can you log in and check/update your diversity information. Some questions have been recently updated but reviewing your data is straightforward and should take no more than five minutes. Completing it helps us get an accurate view of diversity in the sector.

Read more about: Update your diversity data

[<https://www.sra.org.uk/sra/news/press/2022-press-releases/update-your-diversity-data/>]

### ***Get practical innovation tips at our free events*** [<https://www.sra.org.uk/sra/news/sra-update-103-innovate/>]

If you are in the London/South East or South Wales areas and are interested in learning more about the issues, challenges and opportunities associated with innovation in the legal sector, why not sign up to our SRA Innovate 2022 events? Taking place in Brighton (5 July) and Swansea (7 July) the events will provide you with an invaluable opportunity to get practical tips and discuss key issues with a range of expert firms, tech providers and more.

Read more about: Get practical innovation tips at our free events

[<https://www.sra.org.uk/sra/news/sra-update-103-innovate/>]

### ***Find out more about the SQE in Swansea***

[<https://www.sra.org.uk/sra/news/press/2022-press-releases/find-out-more-about-the-sqe-in-swansea/>]

We have been holding roundtables to discuss how the qualifying work experience element of our new Solicitors Qualifying Examination affects would-be entrants to the profession. If you are involved in the training of potential solicitors, there is still time for you to sign up for last event in Swansea next month.



Read more about: Find out more about the SQE in Swansea

[<https://www.sra.org.uk/sra/news/press/2022-press-releases/find-out-more-about-the-sqe-in-swansea/>]

## ***Webinar – firm-wide anti-money laundering assessments***

[<https://events.sra.org.uk/sra/589/home>]

Your firm-wide risk assessment is the keystone for your anti-money laundering work. It's also a legal requirement to have one. Find out how to make sure your assessment is doing its job at our free webinar, where we will share tips, best practice and what to avoid. It takes place on Wednesday 22 June.

Read more about: Webinar – firm-wide anti-money laundering assessments

[<https://events.sra.org.uk/sra/589/home>]

## ***New qualifying work experience online discussion group***

[<https://www.linkedin.com/groups/12659920/>]

We've launched a 'Making QWE happen' discussion group. If you are in a law firm, in-house legal team, law clinic, charity or another organisation that's involved in providing QWE, we want to hear from you. Here you can discuss and share all things relating to qualifying work experience. This could be your organisation's approach, your processes, how you are addressing challenges and what you have learnt.

Read more about: New qualifying work experience online discussion group

[<https://www.linkedin.com/groups/12659920/>]

## ***Survey on your PII premiums next month***

[<https://www.sra.org.uk/solicitors/resources/indemnity/>]

Next month we will be sending out a short survey on professional indemnity insurance (PII) premiums to all firms. We will ask questions on your premium prices, changes over the years and your opinions on the current state of the market. Your answers will help inform work we are doing in collaboration with the LSB exploring the issues in the PII market.

Read more about: Survey on your PII premiums next month

[<https://www.sra.org.uk/solicitors/resources/indemnity/>]

## ***Scam email threats continue***

[<https://www.sra.org.uk/consumers/scam->



### *alerts/scams-round-up/*

We continue to receive reports about scammers trying to illegally obtain money or sensitive information. If you want to know more about the high-risk scams that could affect your business, our round-up brings together the latest risks and advice on how to help keep your firm safe.

Read more about: Scam email threats continue

[<https://www.sra.org.uk/consumers/scam-alerts/scams-round-up/>]

### *Ombudsman report looks at personal injury issues*

[<https://www.sra.org.uk/sra/news/press/2022-press-releases/ombudsman-report-looks-at-personal-injury-issues/>]

The Legal Ombudsman has produced a report looking at the areas of personal injury work that attract the most complaints. This thematic review might help you cut down on client problems before they happen.

Read more about: Ombudsman report looks at personal injury issues

[<https://www.sra.org.uk/sra/news/press/2022-press-releases/ombudsman-report-looks-at-personal-injury-issues/>]

### *Your health, your career*

[<https://www.sra.org.uk/solicitors/resources/your-health-your-career/>]

Are you worried about your health affecting your work? Life as a solicitor can be challenging and the demands and pressures can easily build up. We can signpost you to sources of help and make adjustments for you if you are in difficulty.

Read more about: Your health, your career

[<https://www.sra.org.uk/solicitors/resources/your-health-your-career/>]

Welcome to the latest issue of SRA Update. In this compliance edition, you can find out about our new guidance on immigration and claims management works, as well as updated guidance on client confidentiality, in particular with reference to disclosure to the Legal Ombudsman. We also highlight what you need to do in relation to publishing your firm's diversity data and to comply with our current request to provide information relating to work that may be within scope of anti-money laundering regulations.

**Paul Philip**

Chief Executive



## *Have you published your firm diversity data yet?*

*[<https://www.sra.org.uk/solicitors/resources/diversity-toolkit/your-data/#8215>]*

It is a requirement for firms to publish a summary of their firm diversity data, so long as it complies with data protection legislation. We have updated our guidance about publishing diversity data to include information about publishing social mobility data.

Read more about: Have you published your firm diversity data yet?

*[<https://www.sra.org.uk/solicitors/resources/diversity-toolkit/your-data/#8215>]*

## *Authorisation rules for immigration and claims management work*

*[<https://www.sra.org.uk/solicitors/guidance/undertaking-regulated-claims-management-immigration-activities/>]*

We have produced guidance for those engaging in immigration and claims management work so that they fully understand how our authorisation rules affect them in certain circumstances.

Read more about: Authorisation rules for immigration and claims management work *[<https://www.sra.org.uk/solicitors/guidance/undertaking-regulated-claims-management-immigration-activities/>]*

## *Tell us your anti-money laundering data* *[<https://www.sra.org.uk/sra/news/scope-money-laundering-regulations/>]*

If your firm falls within the scope of the current anti-money laundering regulations, then you should have been contacted this week about declaring certain information to us about your activities. We need to collect these details to comply with national obligations for all those who regulate professionals that fall under the scope of anti-money laundering work.

Read more about: Tell us your anti-money laundering data

*[<https://www.sra.org.uk/sra/news/scope-money-laundering-regulations/>]*

## *Client confidentiality and the Legal Ombudsman*

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



We have updated our guidance on client confidentiality after the Legal Ombudsman found their investigations into poor service made by third parties were hampered by a lack of disclosure. Our guidance outlines how the Ombudsman can obtain information even if client's do not give consent.

Read more about: Client confidentiality and the Legal Ombudsman

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

## *New rules around ground rent*

[<https://www.sra.org.uk/sra/news/sra-update-102-ground-rent/>]

The Leasehold Reform (Ground Rent) Act 2022 received Royal Assent in February and will come into effect at the end of June. You should be aware of the changes so that you can properly advise clients looking to be leasehold properties.

Read more about: New rules around ground rent

[<https://www.sra.org.uk/sra/news/sra-update-102-ground-rent/>]

## *Subscription*

### *If you are regulated by the SRA*

As a regulated individual, please **simply ensure that the SRA has your current contact email address on record.**

To ensure we have your current email address, log in to mySRA

[<https://www.sra.org.uk/mySRA>] and check your profile.

No subscription request is required.

We recommend that you ask your network administrator to ensure that bulk email with "SRA Update" in the subject line is not filtered as spam.

If you do not wish to receive SRA Update, please unsubscribe

[<https://www.sra.org.uk/sra/news/sra-update/unsubscribe>] .

### *If you are not regulated by the SRA*

If you are not regulated by the SRA, please **email a subscription request** to [SRAupdate@sra.org.uk](mailto:SRAupdate@sra.org.uk) [<mailto:SRAupdate@sra.org.uk>] .

## *Unsubscribe*

To unsubscribe, please complete our unsubscribe form

[<https://www.sra.org.uk/sra/news/sra-update/unsubscribe>] . We cannot process unsubscribe requests submitted by email.

### *Editorial comment*

Please send editorial comment to [SRAupdate@sra.org.uk](mailto:SRAupdate@sra.org.uk)

[mailto:sraupdate@sra.org.uk] .