Solicitors Regulation Authority

Investigation and enforcement

Last updated 25 November 2019

Our role is to set, promote and secure in the public interest, standards of behaviour and professional performance necessary to ensure clients receive a good standard of service and the rule of law is upheld.

We regulate you if you are a

- solicitor
- registered European lawyer
- registered foreign lawyer
- an authorised body
- recognised sole practice
- lawyer or non-lawyer who is a manager or employee of an authorised body, or
- an owner of an authorised body.

We work with you to facilitate your compliance with the SRA Principles [https://www.sra.org.uk/solicitors/standards-regulations/principles/] and other obligations.

Our outcomes-focused approach enables you to decide how best to deliver legal services. You can operate systems and controls that suit your client base and type of practice. This provides you with the flexibility to choose the most appropriate way to deliver services enabling you to put clients first as long as this does not prejudice the wider public interest.

Our approach is to be risk-based, proportionate and targeted in any enforcement action we take.

Information about how we work with you, investigate and make decisions can be found by choosing from the following options:

- What happens when we intervene into a practice [https://www.sra.org.uk/solicitors/enforcement/intervention-reasons-costs/]
- The Solicitors Disciplinary Tribunal [https://www.sra.org.uk/solicitors/enforcement/solicitors-disciplinary-tribunal/]
- Conditions on practising certificates and registration [https://www.sra.org.uk/solicitors/enforcement/practising-certificate-pc-conditions-suspension-removal-roll/conditions-appeal/]
- Recovering cost guidance [https://www.sra.org.uk/sra/decision-making/guidance/disciplinary-recovering-costs/]

- The SRA's approach to setting an appropriate financial penalty [https://www.sra.org.uk/solicitors/guidance/financial-penalties/]

Where, in our view, non-compliance represents a risk to the public or consumers or where, in our view, you fail to cooperate effectively with us, we may take formal enforcement action. In serious cases, we may control your practice or discipline you, or even remove you from practice if you represent a serious risk.