

Who can make decisions at the SRA

Updated 30 May 2023 (Updated from 23 March 2022)

This document [formerly known as 'Schedule of delegations'] outlines who can make regulatory decisions at the Solicitors Regulation Authority (SRA) and their role and responsibilities. We have included a glossary function which explains some technical phrases used throughout this document.

How does delegation work?

The SRA Board can delegate its functions to sub-committees and individuals, including to SRA staff. The Board's executive functions and regulatory powers are also delegated by the Board to the Executive.

Below, we have set out the regulatory decisions that are delegated to certain staff groups or individuals to make. All staff are sufficiently trained, experienced and competent to make these decisions. The Chief Executive is able at any time to delegate authority on a case by case basis unless the rules themselves set out who can make a decision.

In this document:

- Any references to standards, regulations or statutory provisions include any updated or amended versions produced following the publication of this document.
- References to a job title or role includes individuals undertaking the same or equivalent role in the future, should the job title or role change.
- References to a directorate, function or unit includes a directorate, function or unit fulfilling the same or equivalent role in the future
- 'Adjudication' means an Adjudicator, an adjudication panel or the Chief Adjudicator
- 'Director(s)' includes all Directors, Executive Directors and the Chief Executive of the SRA
- 'Heads' includes all persons described as 'Head' of a function in their job title
- 'Licensed body' includes any body applying to become a licensed body
- 'Recognised body' includes a legal services body and any body applying to become a recognised body
- 'Investigation' includes Supervision, Forensic Investigations, Assessment Team and Fraud and Confidential Intelligence Bureau departments at the SRA

- 'Technical Adviser(s)' includes Senior Technical Advisers and Senior Authorisation Advisers
- References to the 'SA 1974' means the Solicitors Act 1974, 'CLSA 1990' means the Courts and Legal Services Act 1990, 'AJA 1985' means the Administration of Justice Act 1985, and 'LSA 2007' means the Legal Services Act 2007.

Decisions by number

| No. | Decision | Job role/department |
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| 1 | <p>To decide the outcome of a review of:</p> <p>1. decisions relating to Individual and firm authorisation, education, training and assessment providers, regulatory/disciplinary action and decisions made under the Compensation Fund Rules 2019 and the SRA Compensation Fund Rules 2021, that are listed in Annex 1 of the SRA Application, Notice, Review and Appeals Rules</p> <p>2. all other regulatory decisions or to correct an administrative error in, or in</p> | <p>Adjudication, Directors and Heads, Senior Technical Adviser/Technical Manager in Client Protection: decision (1)</p> <p>Investigation and Supervision - Director, Head of Forensic Investigations and Intelligence, Head of Investigations, Investigation Managers, Investigation Knowledge and Development Manager;</p> <p>Authorisation - Director, Heads of Unit and Technical advisers; Client Protection - Interventions and Statutory Trust Manager, Cost Recovery Team Manager, Compensation Fund Technical Manager, Team Managers and Senior Advisers; Head of Ethics Guidance and Ethics Guidance Team Managers; Legal and Enforcement – Director and Heads; Head of Legal Policy and Advice; Chief Adjudicator and Executive Directors: decision (2)</p> |



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| | relation to, any decision that comes to the SRA's attention, without the need to undergo a review | |
| 2 | <p>To authorise the disclosure or publication of confidential information in the public interest as permitted by law to:</p> <p>law enforcement agencies</p> <p>regulators or those who exercise regulatory functions</p> <p>other persons with a legitimate interest in receiving the information.</p> <p>This includes but is not limited to disclosure in accordance with sections 32(4) and 33A(2) of the SA 1974, section 98 of the LSA 2007 and under any SRA rules or regulations</p> | <p>Adjudication, Directors and Heads</p> <p>Investigation and Supervision - Investigation Knowledge and Development Manager and Investigation Managers</p> <p>Intelligence Officers</p> <p>Authorisation - Team Leaders and Technical Advisers</p> <p>Legal staff - Legal Advisers, Senior Legal Advisers, Senior Legal Consultant and Case Managers</p> <p>Client Protection - Interventions and Statutory Trust Manager, Cost Recovery Team Manager, Compensation Fund Team Managers and Senior Advisers and Technical Manager</p> |
| 3 | <p>To authorise inspection of a file in proceedings in bankruptcy of a solicitor in accordance with section 83 of the SA 1974</p> | <p>Adjudication, Directors and Heads</p> <p>Investigation and Supervision - Investigation Knowledge and Development Manager, and Investigation Managers</p> |

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| | | Authorisation - Team Leaders and Technical Advisers |
| 4 | To oppose admission to the Roll of Solicitors pursuant to section 3(2) of the Solicitors Act 1974 | Adjudication, Directors and Heads |

Client protection - the compensation fund, statutory trusts and indemnity insurance

| No. | Decision | Job role/department |
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| 5 | To make decisions in respect of payment or rejection of claims on the Compensation Fund (up to the value prescribed) | <p>No limit: Adjudication panel save if urgent single adjudicator or Executive Director</p> <p>Up to £1 million: A single Adjudicator</p> <p>Up to £250,000: Director of Client Protection, Technical Manager, Interventions and Statutory Trust Manager, Cost Recovery Team Manager, Compensation Fund Team Managers and Senior Advisers (in Client Protection)</p> <p>Up to £100,000: Technical Specialists (in Client Protection)</p> <p>Up to £10,000: Complex Caseworkers (in Client Protection)</p> |
| 6 | To impose a cap of £5 million in line with Rule 10 of the Compensation Fund Rules 2021 on payments relating to | £5 million: Executive Directors |



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| | multiple applications for the same or connected claims | |
| 7 | To decide whether to accept or reject claims on the Compensation Fund (up to the value prescribed) in cases where the proposed payment is urgently needed as an interim measure to protect the interests of an applicant or potential applicant to the fund | <p>No limit: Adjudication, Executive Directors and Director of Client Protection</p> <p>Up to £500,000: Interventions and Statutory Trust Manager, Cost Recovery Team Manager, Compensation Fund Team Managers and Senior Advisers (in Client Protection)</p> <p>Up to £250,000: Technical Specialists (in Client Protection)</p> |
| 8 | To authorise release of funds from the Compensation Fund in an emergency | <p>Adjudication and Executive Directors</p> <p>Director of Client Protection</p> <p>Any two of: Technical Manager, Interventions and Statutory Trust Manager, Cost Recovery Team Manager, Compensation Fund Team Managers and Senior Advisers, (in Client Protection)</p> |
| 9 | To give an undertaking on behalf of the Compensation Fund to return an overpayment from a Statutory Trust Account | Interventions and Statutory Trust Manager, Cost Recovery Team Manager, Compensation Fund Team Managers and Senior Advisers, Technical |



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| | | Specialist, Technical Manager and Director (in Client Protection) |
| 10 | To make decisions in respect of payment from the Compensation Fund to a Statutory Trust Account to return an overpayment | <p>No limit: Adjudication</p> <p>Up to £500,000: Interventions and Statutory Trust Manager, Cost Recovery Team Manager, Compensation Fund Team Managers, Senior Adviser, Technical Manager and Director of Client Protection (in Client Protection)</p> <p>Up to £250,000: Technical Specialists (in Client Protection)</p> |
| 11 | To make any decision (without limit) in respect of statutory trust money | <p>Adjudication</p> <p>In cases of urgency, any two of: Executive Directors and Director of Client Protection</p> |
| 12 | To make any decision to make payments up to the value prescribed in respect of statutory trust money | <p>Up to £500,000: Director of Client Protection, Technical Manager, Interventions and Statutory Trust Manager, Senior Financial Investigators, Intervention Project Officers, and Senior Advisers (in Client Protection)</p> <p>Up to £100,000; Technical Specialist in Client Protection</p> |

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| 13 | To pass a resolution under paragraph 6A of Schedule 1 of the SA 1974 or paragraph 4 of Schedule 14 of the LSA 2007, in order to collect debts due to an intervened firm | Any two of: Director of Client Protection, Interventions and Statutory Trust Manager, Technical Manager in Client Protection, Senior Technical Adviser in Client Protection |
| 14 | To issue and defend financial or recovery proceedings in a court or tribunal (and to take preliminary steps such as the service of a statutory demand in bankruptcy) on behalf of the SRA or the Compensation Fund | Executive Directors Technical Manager and Director, Interventions and Statutory Trust Manager, Cost Recovery Team Manager, Compensation Fund Team Managers, Technical Specialists, Senior Advisers, Case working staff (in Client Protection Team) |

Authorisation

Authorisation - individuals, education and training

| No. | Decision | Job role/department |
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| 15 | To make decisions about an applicant's character and suitability under rule 1.1 of SRA Assessment of Character and Suitability Rules | Adjudication Education and Training - Director, Head of and Policy Managers |
| 16 | To grant applications or authorisations under the SRA Authorisation of Individuals Regulations including: | Authorisation – all staff: decisions (1) to (8) Adjudication: all decisions (1) to (10) |



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| | <ol style="list-style-type: none"> 1. Determining eligibility for admission as a solicitor 2. Granting applications for recognition of academic or vocational stage completion by equivalent means 3. Recognising or requiring specified steps be taken or extending periods of training 4. Granting applications for admission to the Roll of Solicitors 5. Granting applications for removal from the Roll of Solicitors 6. Granting applications for Practising Certificates 7. Granting applications for registration as a European lawyer 8. Granting applications for registration as a foreign lawyer 9. Granting applications from individuals for exemptions in respect of all or part of the Solicitors Qualifying Examination (SQE) assessment 10. Granting applications for all lawyers who hold a particular title in a particular jurisdiction for exemptions in respect of all or part of the SQE assessment | <p>Authorisation – Director, Heads of Unit, Technical Advisers, Team Leaders, Senior Authorisation Officers and Authorisation Officers Level 2 and Level 3: decision (9)</p> <p>Education and Training - Director, Head of and Policy Managers: decision (9)</p> <p>Education and Training - Director and Head of: decision (10)</p> |
| 17 | To: | Authorisation – all staff: |



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| | <ol style="list-style-type: none"> 1. Remove solicitors from the Roll of Solicitors under regulation 5.6(a)(i) of the SRA Authorisation of Individuals Regulations where following an enquiry they tell us that they do not wish to remain on the Roll 2. Remove solicitors from the Roll of Solicitors under regulation 5.6(a)(ii) of the SRA Authorisation of Individuals Regulations where following an enquiry they do not, within eight weeks from the date of the notice, reply to us and pay the fee to remain on the Roll of Solicitors | <p>decision (1)</p> <p>Authorisation – Director, Heads of Unit and Technical Advisers: decision (2)</p> |
| 18 | <p>To refuse, revoke or vary authorisations under the SRA Authorisation of Individuals Regulations including:</p> <ol style="list-style-type: none"> 1. Refusing applications for recognition of academic or vocational stage of qualification completed by equivalent means 2. Determining completion of an Apprenticeship 3. Refusing to recognise (all or part of), requiring specified steps to be taken, extending periods of training 4. Refusing applications for admission to the Roll of Solicitors | <p>Adjudication: all decisions (1) to (13)</p> <p>Education and Training – Director, Head of and Policy Managers: all decisions (1) to (13)</p> <p>Authorisation - all staff: decisions (1) to (12)</p> <p>Authorisation - Director, Heads of Unit, Technical Advisers, Team Leaders, Senior Authorisation Officers and Authorisation Officers Level 2 and Level 3: decision (13)</p> <p>Investigation and Supervision – Director,</p> |



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| | <p>5. Refusing applications for removal from the Roll of Solicitors</p> <p>6. Refusing applications for Practising Certificates</p> <p>7. Refusing applications for registration as a European lawyer</p> <p>8. Refusing applications for registration as a foreign lawyer</p> <p>9. Imposing conditions on practising certificates or registration</p> <p>10. Revoking or varying conditions on practising certificates or registration</p> <p>11. Shortening or removing the 28 days' notice under regulation 7.5</p> <p>12. Revoking a practising certificate or withdrawing registration</p> <p>13. Refusing applications for exemptions in respect of all or part of the SQE assessment</p> | <p>Head of Investigations, Head of Forensic Investigations and Intelligence, Investigation Knowledge and Development Manager and Investigation Managers: decisions (10) and (11)</p> |
| 19 | <p>To grant or refuse applications to extend the six year period to complete the SQE assessment under the SQE Assessment Regulations</p> | <p>Education and Training – Director, Head of and Policy Managers</p> <p>Authorisation – Director, Heads of Unit, Technical Advisers, Team Leaders, Senior Authorisation Officers and Authorisation Officers Level 2 and Level 3</p> |
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| 20 | <p>To grant approvals or authorisations under the SRA Education, Training and Assessment Provider Regulations including:</p> <ol style="list-style-type: none">1. Granting an application for approval or authorisation as a training provider2. Approving an organisation to provide assessments in High Courts Civil and Criminal Advocacy and to confer a Higher Courts Advocacy Qualification (Higher Rights of Audience qualification) | <p>Authorisation - all staff</p> <p>Adjudication</p> |
| 21 | <p>To refuse, revoke or vary authorisations under the SRA Education, Training and Assessment Provider Regulations including:</p> <ol style="list-style-type: none">1. Refusing an application for approval or authorisation as a training provider2. Imposing conditions on an authorised training provider3. Revoking authorisation as a training provider4. Requiring an authorised training provider to appoint a new training principal5. Refusing (subject to conditions or otherwise) to approve an organisation to provide assessments in High | <p>Adjudication: all decisions (1) to (7)</p> <p>Authorisation – all staff: decisions (1) to (4)</p> <p>Education and Training – Director, Head of and Policy Managers: decisions (5) to (7)</p> |



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| | <p>Courts Civil and Criminal Advocacy and to confer a Higher Courts Advocacy (Higher Rights of Audience) Qualification</p> <p>6. Revoking an authorised Higher Rights providers approval</p> <p>Making an authorised Higher Rights Providers approval subject to conditions</p> | |
| 22 | <p>To determine applications for membership of professional accreditation schemes, panels and awards, including the waiving of requirements and to revoke membership of professional accreditation schemes, panels and awards.</p> | <p>Adjudication</p> <p>Education and Training - Director, Head of and Policy Managers</p> <p>Authorisation – Director, Heads of Unit, Technical Advisers, Team Leaders, Senior Authorisation Officers and Authorisation Officers Level 2 and Level 3</p> |
| 23 | <p>In respect of the granting of applications for approval of employment under sections 41 or 43 of the Solicitors Act 1974:</p> <p>1.to grant approval unconditionally, or subject to any conditions or requirements which have not been objected to by the person or persons concerned</p> <p>2.to refuse approval, or grant approval with conditions (whether objected to or not)</p> | <p>All Investigation and Supervision and Authorisation staff can make decision (1)</p> <p>Adjudication: decision (2)</p> <p>Authorisation – Director, Heads of Unit, Technical Advisers, Team leaders and Senior Authorisation Officers: decision (2)</p> |



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| 24 | <p>In respect of an application to terminate a suspended practising certificate:</p> <p>1. to terminate the suspension, including conditions which have not been objected to by the person concerned</p> <p>to refuse to terminate the suspension, or to terminate the suspension subject to conditions</p> | <p>Authorisation – all staff: decision (1)</p> <p>Adjudication: decision (2)</p> <p>Authorisation – Director, Heads of Unit, Technical Advisers, Team leaders and Senior Authorisation Officers: decision (2)</p> |
| 25 | <p>In accordance with the powers under articles 12-14 of the European Communities (Services of Lawyers) Order 1978 to determine whether the person has verified their status to the SRA's satisfaction</p> | <p>Adjudication, Directors and Heads</p> |

Authorisation - firms

| No. | Decision | Job role/department |
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| 26 | <p>To grant approvals or authorisations with conditions or otherwise under the SRA Authorisation of Firms Rules including:</p> <p>1. Granting an application for authorisation unconditionally or with agreed conditions</p> <p>2. Granting an application for authorisation with conditions which are objected to</p> <p>3. Imposing conditions on a body's authorisation (where there is no objection and also where there is an objection)</p> | <p>Authorisation - All staff: decisions (1) to (13)</p> <p>Adjudication: decisions (1) to (14)</p> <p>Authorisation - Director, Heads of Unit, Technical Advisers and Team leaders: decision (14)</p> |



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| <ol style="list-style-type: none">4. Revoking or suspending authorisation on application of the body concerned5. Determining that an authorised body is not required to comply with rule 9.1 of the SRA Authorisation of Firms Rules (to seek approval of a manager or owner of the authorised body), where managers are not involved in the activities set out in rule 9.3(a) to (c) as follows:<ol style="list-style-type: none">a. the day to day or strategic management of the authorised body [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body] ;b. compliance by the authorised body [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body] with the SRA's regulatory arrangements [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulatory-arrangements] ; Orc. the carrying on of reserved legal activities [https://www.sra.org.uk/solicitors/standards-regulations/glossary/#reserved-legal-activities] , or the provision of legal services in England and Wales6. Extending, revoking or varying an authorised body's terms and conditions7. Approving a manager, owner, COLP or COFA of an authorised body8. Approving a manager, owner, COLP or COFA of an | |
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| | <p>authorised body, subject to conditions being imposed on the authorisation of the body (where there is no objection)</p> <p>9. Approving a restricted interest under Schedule 13 LSA subject to a condition on that approval (where there is no objection)</p> <p>10. Approval of a manager, owner, COLP or COFA of an authorised body, subject to conditions being imposed on the authorisation of a body (where there is objection)</p> <p>11. Approval of a restricted interest under Schedule 13 LSA subject to a condition on that approval (where there is objection)</p> <p>12. Approval of a beneficial owner, officer, or manager of an Independent legal practitioner</p> <p>13. Recommendation that a trust or company service provider or a beneficial owner, officer or manager of trust or company service provider, is fit and proper to carry out the work of a trust or service company provider</p> <p>14. Deciding to transfer or substitute authorisation of a body or approval of a manager, owner, COLP or COFA and to determine what application requirements apply</p> | |
| 27 | To refuse applications or authorisations under the SRA | Authorisation - all staff: decisions (1) to (6) |



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| | <p>Authorisation of Firms Rules including;</p> <ol style="list-style-type: none">1. Refusing an application for authorisation2. Revoking or suspending authorisation on procedural grounds3. Suspending or revoking authorisation on any grounds4. Refusing to approve a manager, owner, COLP or COFA of an authorised body5. Objecting to the holding of a restricted interest in a licensed body6. Withdrawal of approval of a manager, owner, COLP or COFA of an authorised body.7. Objecting to the holding of an existing approved restricted interest holder in a licensed body8. Refusal of approval of a beneficial owner, officer or manager of an independent legal practitioner9. Recommending that a trust or company service provider, or a beneficial owner, officer or manager or a trust or company service provider is NOT fit and proper to carry out the work of a trust or company service provider | <p>Adjudication: decisions (1) to (9)</p> <p>Authorisation - Director, Heads of Unit, Technical Advisers and Team leaders: decisions (7) to (9)</p> |
| 28 | <p>Withholding from publication all or some information that would usually be published in the public interest</p> | <p>Adjudication and Executive Directors</p> <p>Authorisation - all staff</p> |



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| 29 | <p>In respect of determining or modifying the reserved legal activities which a licensed body is authorised to carry out for the purposes of section 85 and 86 of the Legal Services Act 2007 (including upon first application for a licence):</p> <p>1. To grant or amend the term of the licence where this is not objected to by the person or persons concerned</p> <p>2. To grant or amend the term of the licence whether objected to or not</p> | <p>All Investigation and Supervision and Authorisation staff: decision (1)</p> <p>Adjudication and Executive Directors: decision (2)</p> <p>Authorisation – Director, Heads of Unit, Technical Advisers and Team leaders: decision (2)</p> <p>In respect of the exercise of these powers, all persons listed above may give notice of the same or decide to remove the notice requirement.</p> |
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Authorisation - other

| No. | Decision | Job role/department |
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| 30 | To require an accountant's report to be obtained or delivered in accordance with rule 12.4 of the SRA Accounts Rules | Authorisation - all staff Adjudication |
| 31 | To make orders and exercise associated powers in relation to modifying the application of licensing rules for special bodies arising from sections 106 and 107 of the Legal Services Act 2007 | Adjudication Executive Directors |

Investigation

| No. | Decision | Job role/department |
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| 32 | To authorise an onsite inspection | <p>Adjudication</p> <p>Director and Heads</p> <p>Investigation and Supervision - Investigation Knowledge and Development Manager and Investigation Managers</p> |
| 33 | To decide that it would not be in the public interest to notify the person subject to the decision or their employer of an investigation into an allegation | <p>Investigation and Supervision – Director, Head of Investigations, Head of Forensic Investigations and Intelligence, Investigation Knowledge and Development Manager and Investigation Managers</p> |
| 34 | To issue letters of advice or a warning regarding future conduct or behaviour under rule 2.4 of the SRA Regulatory and Disciplinary Procedure Rules (RDPR) | <p>Adjudication, Directors and Heads</p> <p>Investigation and Supervision - Investigation Knowledge and Development Manager and</p> |



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| | | <p>Investigation Managers</p> <p>Legal staff - Case Managers, Senior Legal Consultant, Senior Legal Advisers and Legal Advisers</p> |
| 35 | <p>To decide not to give notice of an investigation to the relevant person under rule 2.5 of the RDPR where a further allegation is intended to be included in a matter already subject to an application or ongoing proceedings before the Tribunal, or where we intend to make an urgent application to the Tribunal in a case in which we are exercising our powers of intervention or it is otherwise in the public interest to do so.</p> | <p>Adjudication and Executive Directors</p> <p>Investigation and Supervision – Director, Head of Investigations, Head of Forensic Investigations and Intelligence, Investigation Knowledge and Development Manager and Investigation Managers</p> <p>Legal staff – Executive Director, Director of Legal and Enforcement and Chief Adjudicator, Head of Legal and Enforcement, Head of Legal Policy and Advice</p> |
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| | <p>To vary the procedures as per rule 8.1 of the RDPR relating to evidential and procedural matters if we consider it to be in the interests of justice or in the overriding public interest to do so.</p> | <p>Adjudication and Executive Directors</p> <p>Investigation and Supervision – Director, Head of Investigations, Head of Forensic Investigations and Intelligence, Investigation Knowledge and Development Manager and Investigation Managers</p> <p>Legal staff – Director of Legal and Enforcement, Head of Legal and Enforcement and Head of Legal Policy and Advice</p> |
| 37 | <p>To decide to suspend a practising certificate</p> | <p>Adjudication</p> <p>Investigation and Supervision – Director, Head of Investigations and Head of Forensic Investigations and Intelligence</p> <p>Legal staff - Director of Legal and Enforcement, Head of Legal</p> |



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| | | and Enforcement, Head of Legal Policy and Advice and Executive Director (in General Counsel) |
| 38 | To give any notices required for the purposes of Schedule 14 of the LSA 2007 in relation to exercising our powers of intervention of a licensed body (including, for the avoidance of doubt, paragraphs 1(4), 3(5), 8 and 10) and Schedule 1 of the SA 1974 (including, for the avoidance of doubt, paragraphs 6 and 9) | Adjudication and Executive Directors Client Protection - Director, Technical Manager, Interventions and Statutory Trust Manager and Senior Advisers Investigation and Supervision – Director, Head of Investigations and Head of Forensic Investigations and Intelligence Legal staff - Director of Legal and Enforcement, Head of Legal and Enforcement, Head of Legal Policy and Advice |
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| | To disqualify an accountant from making any accountant's reports under the Accounts Rules | Adjudication Investigation and Supervision – Director, Head of Investigations and Head of Forensic Investigations and Intelligence |
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Adjudication

| No. | Decision | Job role/department |
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| 40 | To decide to intervene into a firm (including under section 35 and Schedule 1 of the SA 1974, Schedule 2 of the AJA1985, section 102 and Schedule 14 to the LSA 2007 and any provision with similar effect) | Adjudication panel unless the intervention 1. is due to severe and imminent risk to the public; or 2. into the closed files and any residual money forming the remnants of a practice in which case provided the Chief Executive, an Executive Director or a Director decides that the decision can be made by a single adjudicator |
| 41 | To: 1. Give a written rebuke 2. Impose a fine falling within Band A, B, or C of the SRA's guidance on its approach to financial penalties | Adjudication: decisions (1) to (7) All Authorisation staff: decision (3) relating to publication of conditions affecting a practising certificate, recognition, registration, or approval and decision (6) in so far as it relates to imposing interim conditions upon practising certificates under |



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| | <ol style="list-style-type: none">3. Make a decision to publish (or not) a regulatory decision or to publish at later date4. Disqualify a person5. make an order under section 43(2) of the Solicitors Act 19746. impose conditions, interim conditions or other controls upon practising certificates, registration or any other form of authorisation7. direct payment of costs | rule 3.2 of the SRA Regulatory and Disciplinary Procedure Rules |
| 42 | [To impose (other than via a regulatory settlement agreement) a financial penalty falling within Band D of the SRA's guidance on its approach to financial penalties] | Adjudication panel |
| 43 | To end a disqualification or order made by the SRA in accordance with rule 7.2 SRA Regulatory and Disciplinary Procedure Rules | Adjudication Authorisation – Director, Heads of Units and Technical Advisers |
| 44 | To appoint the membership of a Panel of Adjudicators Sub | Adjudication Support Officer Chief Adjudicator, or in the absence of the Chief |



| | Committee and to designate the Chair | Adjudicator, a single Adjudicator |
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| 45 | [To impose a fixed financial penalty under rule 3.1(h) of the Regulatory and Disciplinary Procedure Rules, to direct payment of costs in respect of that matter, and/or to make a decision to publish (or not) that regulatory decision or to publish at a later date] | Investigation and Supervision – Director, Head of Investigations, Head of Forensic Investigations and Intelligence, Investigation Knowledge and Development Manager and Investigation Managers AML – Director and Head of AML Investigations Head of Thematic Team Director of Legal and Enforcement Heads of Legal and Enforcement |

Legal and enforcement

| No. | Decision | Job role/department |
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| 46 | <p>To authorise disciplinary proceedings and any other proceedings before the Solicitors Disciplinary Tribunal, and to authorise the addition of further allegations</p> <p>To authorise, issue and defend any proceedings or proposed proceedings in a court or tribunal.</p> <p>The above includes the power to issue a restriction notice for the purposes of Part 5 Schedule 13 of the Legal Services Act 2007 to place restrictions on shares within a restricted interest held</p> | <p>Adjudication and Executive Directors</p> <p>Legal staff - Director of Legal and Enforcement, Head of Legal and Enforcement, Head of Risk and Compliance, Head of Legal Policy and Advice, Case Managers, Senior Legal Consultant, Senior Legal Advisers and Legal Advisers</p> |



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| | <p>by a licensed body and to make any application to the High Court under Part 5 of Schedule 13 of that Act or Schedule 14 of that Act and to give any associated notices.</p> <p>The power to decide whether to publish a decision, or refer to the Solicitors Disciplinary Tribunal.</p> | |
| 47 | <p>To authorise a Statement of Agreed Facts, Admissions and Outcome</p> | <p>Legal staff - Director of Legal and Enforcement, Head of Legal and Enforcement, Head of Legal Policy and Advice and Executive Director (in General Counsel)</p> |
| 48 | <p>To authorise prosecution of offences under the SA 1974, the AJA 1985, the CLSA 1990, and the LSA 2007</p> | <p>Chief Adjudicator and Executive Directors</p> <p>Legal staff - Director of Legal and Enforcement, Head of Legal and Enforcement and Head of Legal Policy and Advice</p> |
| 49 | <p>To decide to give notice:</p> <p>1. pursuant to sections 44B of the SA 1974 to require a person or recognised body to provide information and documents and any equivalent notice, such as paragraph 14 of Schedule 2 to the Administration of Justice Act 1985 and to</p> | <p>Adjudication and Executive Directors: decisions (1) to (3)</p> <p>Investigation and Supervision – Director, Head of Investigations, Head of Forensic Investigations and Intelligence, Investigation Knowledge and</p> |



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| | <p>exercise the related powers pursuant to those provisions</p> <p>2. pursuant to section 93 of the LSA 2007 requiring information to be provided by a licensed body, and to exercise the related powers pursuant to those provisions</p> <p>3. under regulation 66 of the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 to require information and documents to be provided.</p> | <p>Development Manager and Investigation Managers: decisions (1) and (2)</p> <p>Legal staff - Director of Legal and Enforcement, Head of Legal and Enforcement, Head of Risk and Compliance, Head of Legal Policy and Advice, Case Managers, Senior Legal Consultant, Senior Legal Advisers and Legal Advisers: decisions (1) to (3)</p> <p>Authorisation - Technical Advisers: decisions (1) and (2)</p> <p>Client Protection - Director, Technical Manager and Interventions and Statutory Trust Manager: decisions (1) and (2)</p> <p>AML - Director, Head of AML Investigations and AML Investigation Manager: decisions (1) to (3)</p> |
| 50 | <p>To give notice under section 44BA of SA 1974 (to require an explanation of information or any document provided by the person to whom notice is given) any equivalent notice for the purposes of paragraph 14 of Schedule 2 to the AJA 1985, and to exercise the related powers</p> | <p>Chief Adjudicator and Executive Directors</p> <p>Legal staff - Director of Legal and Enforcement, Head of Legal and Enforcement and Head of Legal Policy and Advice</p> |



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| | <p>pursuant to those provisions</p> <p>To authorise an application to court under section 44BB of SA 1974 or section 94 of LSA 2007, and to exercise the related powers pursuant to those provisions</p> | <p>Investigation and Supervision – Director, Head of Investigations, Head of Forensic Investigations and Intelligence, Investigation Knowledge and Development Manager and Investigation Managers in relation to a notice under section 44BA and equivalent notices</p> <p>Client Protection – Director, Technical Manager and Interventions and Statutory Trust Manager</p> |
| 51 | <p>To authorise a regulatory settlement agreement including (but not limited) to the following:</p> <p>give a written rebuke</p> <p>direct payment of a penalty up to and including £2,000</p> <p>make a decision to publish (or not) a regulatory decision</p> <p>disqualify a person</p> <p>bring a disqualification to an end</p> <p>make an order under section 43(2) of the SA 1974</p> <p>impose conditions, interim conditions or other controls upon practising certificates, registration or any other form of authorisation</p> <p>issue advice or a warning</p> <p>make an application to the SDT</p> | <p>Adjudication and Executive Directors</p> <p>Director of Legal and Enforcement</p> <p>Heads of Legal</p> <p>Director of Investigation and Supervision</p> <p>Director of AML</p> <p>Any two of: Technical Advisers in Authorisation, Director of Authorisation, Heads of Unit (in Authorisation); Head of Investigation and Investigation Managers</p> |



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| | <p>suspend, or extend the extension of, a practising certificate under section 13B of the SA 1974</p> <p>direct payment of costs</p> | |
| 52 | <p>To authorise a regulatory settlement agreement including a financial penalty in excess of £2,000</p> | <p>Executive Directors</p> <p>Director of Legal and Enforcement</p> <p>Director of Investigation and Supervision</p> <p>Director of AML</p> <p>Any two Heads of Legal and Enforcement or Heads of Investigation and Supervision</p> |
| 53 | <p>To decide upon applications for waivers of requirements of the SRA Standards and Regulations</p> | <p>Adjudication</p> <p>Directors</p> <p>Ethics Guidance - Head of Ethics Guidance and Team Managers</p> <p>Authorisation – Director, Heads of Unit, Technical Advisers, Team Leaders, Senior Authorisation Officers and Authorisation Officers Level 2 and Level 3</p> <p>Education and Training – Director, Head of and Policy Managers</p> |



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| 54 | To deal with applications for authority to withdraw money from client account | Adjudication Directors Ethics Guidance - Head of Ethics Guidance, Team Managers and Ethics Advisers |
| 55 | To approve foreign legal professions for the purposes of section 89 of the CLSA 1990 (A register of foreign Lawyers, maintained by The Law Society). | Executive Directors |
| 56 | <p>To exercise all powers and make all decisions (excluding waivers and the setting of fees) relating to course providers offering the academic and vocational stages of training under the SRA Education, Training and Assessment Provider Regulations</p> <p>To deal with all matters relating to assessment organisations and/or providers of post-qualification training under the SRA Authorisation of Individuals Regulations and the SRA Education Training and Assessment Provider Regulations (excluding waivers and the setting of fees).</p> | Adjudication Education and Training – Director, Head of and Policy Managers |
| 34 | To issue letters of advice or a warning regarding future conduct or behaviour under rule 2.4 of the SRA Regulatory and Disciplinary Procedure Rules (RDPR) | Adjudication, Directors and Heads Investigation and Supervision - Investigation |



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| | | <p>Knowledge and Development Manager and Investigation Managers</p> <p>Legal staff - Case Managers, Senior Legal Consultant, Senior Legal Advisers and Legal Advisers</p> |
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