

## Search guidance - results

### *Disciplinary procedures*

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### *The SRA's approach to financial penalties - Guidance*

[\[https://www.sra.org.uk/solicitors/guidance/financial-penalties/\]](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*

[\[https://www.sra.org.uk/solicitors/guidance/decision-making-disciplinary-cases/\]](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*

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

### *Issuing Solicitors Disciplinary Tribunal proceedings - Guidance*

[\[https://www.sra.org.uk/solicitors/guidance/disciplinary-](https://www.sra.org.uk/solicitors/guidance/disciplinary-)

## *issuing-solicitors-disciplinary-tribunal-proceedings/*

20 July 2022

To help you understand the approach we take when deciding whether to issue proceedings in the Solicitors Disciplinary Tribunal.

## *Making decisions to investigate concerns - Guidance*

*[<https://www.sra.org.uk/solicitors/guidance/investigations-decisions-investigate-concerns/>]*

30 December 2021

To help those we regulate understand how we assess reports and complaints made about them.

## *How we regulate non-authorised persons - Guidance*

*[<https://www.sra.org.uk/solicitors/guidance/general-regulation-non-authorised-persons/>]*

17 November 2021

How we will regulate you if you are not authorised by us directly but where you are involved in a firm we regulate or work for, or are supervised, by a solicitor.

## *How we deal with money when we intervene (Statutory Trusts) - Guidance*

*[<https://www.sra.org.uk/solicitors/guidance/consumer-money-intervene/>]*

5 July 2021

To help you understand how we deal with money when we intervene into a firm.

## *On-site investigations (inspections) - Guidance*

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

25 November 2019

To help you understand how we make the decision to conduct an on-site inspection and what is expected from you.

## *Decision-making, reviews and attendance procedures - Guidance*

*[<https://www.sra.org.uk/solicitors/guidance/decision-making-reviews-attendance-procedures/>]*

25 November 2019

To help you understand how we make a first instance decision and how we deal with an application for an internal review of that decision.

## *How we make decisions and the criteria we apply - Guidance*

*[<https://www.sra.org.uk/solicitors/guidance/make-decisions-criteria-apply/>]*

25 November 2019

To help you understand the overarching principles that guide us when we make regulatory decisions and the criteria we apply.

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