

# Enforcement in practice

3 April 2020

To support our staff in making sure we reach fair and consistent enforcement decisions, we have created a number of guides and support materials.

These internal documents are designed as reference tools only. The final decision on how any matter is dealt with will always be considered on a case-by-case basis, taking account any relevant information. However, they give a helpful indication of some of the factors we consider during an investigation and when considering appropriate sanctions.

## *Topic guides*

These guides summarise the main factors we consider when looking at potential breaches in specific topical areas, or areas where there is the most potential for uncertainty.

Anti-money laundering [<https://www.sra.org.uk/sra/corporate-strategy/sra-enforcement-strategy/enforcement-practice/anti-money-laundering/>] Competence and standard of service [<https://www.sra.org.uk/sra/strategy/sub-strategies/enforcement-practice/competence-standard-service>] Criminal offences outside of practice [<https://www.sra.org.uk/sra/strategy/sub-strategies/enforcement-practice/criminal-offences-outside-practice>] Driving with excess alcohol conviction [<https://www.sra.org.uk/sra/strategy/sub-strategies/enforcement-practice/driving-excess-alcohol-convictions>] Use of social media and offensive communications [<https://www.sra.org.uk/sra/strategy/sub-strategies/enforcement-practice/social-media-offensive-communications>]

## *Further support materials*

A guide to the application of Principle 1 [<https://www.sra.org.uk/sra/strategy/sub-strategies/enforcement-practice/guide-application-principle-1>]

For more information on our investigation and disciplinary processes read our guidance [<https://www.sra.org.uk/solicitors/guidance/>] .