

# SRA Application, Notice, Review and Appeal Rules

[<https://www.sra.org.uk/solicitors/standards-regulations/application-notice-review-appeal-rules/?docId=572733801>]

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## *Introduction*

These rules make provision for all notices given by the SRA and applications made to it under the SRA's rules and regulatory arrangements. They also make provision for internal reviews and external appeals against our disciplinary and regulatory decisions.

This introduction does not form part of the SRA Application, Notice, Review and Appeal Rules.

## *Part 1: Applications and notices*

### *Rule 1: Applications*

- 1.1** An application made under the SRA's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] regulatory arrangements [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulatory-arrangements>] must be made in writing, where appropriate, in the prescribed [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed>] form correctly completed, and be accompanied by:
  - (a)** any prescribed [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed>] fee or charge; and
  - (b)** any information and documents which may be prescribed [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#prescribed>] , or reasonably requested by SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] .
- 1.2** If you make an application to the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] , you do not need to submit all payments, information, and documents simultaneously, but the application will only be made once the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] has received all of the payments, information and documents relating to it.
- 1.3** You must ensure that all details provided in connection with any application you make to the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] are correct and complete. You must notify the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] as



soon as you become aware of any changes to any information supplied.

**1.4** As soon as reasonably practicable, the SRA

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>]

shall give notice to the applicant of the decision made in respect of their application, and shall give notice of the decision to any other person to whom the application relates. If the application is refused, the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] will provide reasons for the decision and will inform the applicant and any other person to whom the application relates, of any right they may have to apply for a review or appeal of the decision.

**1.5** The SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] shall give notice to an applicant for authorisation under the SRA Authorisation of Firms Rules, of the decision in respect of their application before the end of the decision period, which is the period of 6 months beginning with the day on which the application is made.

**1.6** The SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] may, on one occasion, give the applicant a notice (an "extension notice") extending the decision period in rule 1.5 by such period as may be specified in the notice but:

- (a) an extension notice must only be given before the time the decision period in rule 1.5 would end, but for the extension notice;
- (b) the total decision period must not exceed 9 months; and
- (c) the extension notice must set out the reasons for the extension.

**1.7** If the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] has not notified the applicant of its decision within the decision period in rule 1.5 or as extended by rule 1.6, then for the purpose of any rights of review or appeal under Part 2 of these rules, the application is deemed to have been refused under rule 2.2 of the SRA Authorisation of Firms Rules and that decision to have been notified to the applicant on the last day of the decision period in rule 1.5 or as extended in rule 1.6. This does not prevent the SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] subsequently granting or refusing the application.

*Rule 2: Notices*



- 2.1** Any notice under the SRA's [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) regulatory arrangements [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulatory-arrangements\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#regulatory-arrangements) must be given in writing by delivering it, or sending it by post or by electronic mail, to the recipient's last notified postal or electronic mail address, as appropriate.
- 2.2** If the intended recipient of a notice is represented, the notice may instead be given by sending or delivering it to the representative's practising or business address, or electronic mail address.
- 2.3** The giving of notice will be deemed to have been effected:
- (a) if sent by electronic mail or delivered or left at an address:
    - before 4.30pm on a working day, on that day, or in any other case on the next working day after the day on which it was sent, delivered or left;
  - (b) if sent by ordinary post:
    - (i) in the case of first class post, on the second working day after the day on which it was posted, and
    - (ii) in the case of second class post, on the fourth working day after the day on which it was posted.

## *Part 2: Reviews and appeals of decisions*

### *Rule 3: Power to conduct a review*

- 3.1** The SRA [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) may:
- (a) where an administrative error in, or in relation to any decision comes to the SRA's [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) attention, correct the error without the need to undergo review under this Part;
  - (b) review all or part of any regulatory decision reached by its own initiative, under this Part.
- 3.2** Subject to rule 3.3, the SRA [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA) may review all or part of any of the regulatory decisions set out in annex 1 on the application of the person [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person) who is the subject of the decision.



**3.3** An application cannot be made for a review of:

- (a) a decision reached following a review or appeal;
- (b) a decision which has been made by agreement under r 8.2 of the SRA Regulatory and Disciplinary Procedure Rules.

**3.4** Subject to rule 3.7, the SRA

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>]

shall not, save in exceptional circumstances, review a decision more than one year after it was made.

**3.5** An application for a review of a decision must be made within 28 days of:

- (a) notice being given of the decision, or reasons for the decision (if later); or
- (b) any deemed refusal under rule 1.7 or regulation 19 of the European Communities (Lawyer's Practice) Regulations 2000,

and must explain the grounds of review and provide reasons and any evidence in support.

**3.6** Subject to rule 3.7, if the SRA

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>]

decides to review a decision on its own initiative, it must give any person [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] who is the subject of the decision, notice of its decision to conduct a review and an opportunity to provide written representations on the appropriate outcome under rule 4.2.

**3.7** Rules 3.4 and 3.6 do not apply where the SRA

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>]

decides to review a decision made under rule 3.1(g) of the SRA Regulatory and Disciplinary Procedure Rules to make an application to the Tribunal

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Tribunal>] .

**Rule 4: Decisions on review**

**4.1** A review will usually be determined by an authorised

decision maker [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-decision-maker>]

on consideration of written evidence alone. An adjudicator

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#adjudicator>]

may at their sole discretion invite the relevant person to be interviewed by an authorised decision maker accompanied by their representative (if any).



- 4.2** Subject to rule 4.3, on a review (save for a review of a decision made under rule 3.1(h) of the SRA Regulatory and Disciplinary Procedure Rules), the authorised decision maker [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-decision-maker>] , as appropriate may, where they consider the original decision was materially flawed or there is new information which would have had a material influence on the decision:
- (a) uphold the original decision;
  - (b) overturn the decision in whole or in part;
  - (c) make any other decision which could have been made the original decision maker; or
  - (d) remit the decision for further investigation or consideration
- 4.3** On a review of a decision made under rule 3.1(g) of the SRA Regulatory and Disciplinary Procedure Rules to make an application to the Tribunal [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Tribunal>] , the authorised decision maker may also overturn the decision where they consider that the conditions in rule 6.1 of the SRA Regulatory and Disciplinary Procedure Rules are no longer met.
- 4.4** On a review of a decision made under rule 3.1(h) of the SRA Regulatory and Disciplinary Procedure Rules, the authorised decision maker, as appropriate may exercise any of the powers set out at rule 4.2, where they consider that:
- (a) the person had complied with the requirements made under rule 11.1(b) of those rules; or
  - (b) the person had taken all reasonable steps to ensure they receive SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] communications but did not receive the notification under rule 11.1 of those rules.
- 4.5** A review of a decision made by an adjudicator [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#adjudicator>] may only be carried out by another adjudicator [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#adjudicator>] or an adjudication panel [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#adjudication-panel>] . A review of a decision made by an adjudication panel [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#adjudication-panel>] may only be carried out by



another adjudication panel

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#adjudication-panel>] .

- 4.6** A review will not be conducted by the authorised decision maker who made the decision under review. For avoidance of doubt this does not apply in respect of corrections under rule 3.1(a).

#### *Rule 5: Appeals to the High Court or Tribunal*

- 5.1** Unless otherwise provided in the relevant statute, or rules of the Tribunal [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Tribunal>] , court [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#court>] OR of the Legal Services Board, any appeal to the High Court or Tribunal [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Tribunal>] against a decision set out in annex 2 or 3, as appropriate, must be commenced within the period of 28 days from the date of notification of the decision that is subject to appeal.

#### *Rule 6: Taking effect of decisions subject to review or appeal*

- 6.1** Unless specified otherwise, subject to rule 6.2, a decision takes effect:
- (a) if no application for a review or appeal is made, on the expiry of the date for bringing such an application under these rules; and
  - (b) if an application for a review or an appeal is made, on the date any review or appeal has been determined or discontinued.
- 6.2** The SRA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] may direct a decision to take immediate effect, where it considers that it is necessary in the public interest to do so.

## *Annex 1: Decisions made by the SRA which are subject to review*

### *Individual authorisation*

As set out in the SRA Authorisation of Individuals Regulations:

- 1.1** A decision made under regulation 1.1(b) not to be satisfied that an individual holds a degree [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#degree>] or qualifications or experience which are equivalent to a

degree [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#degree>] .

- 1.2 A decision made under regulation 3.1(a) not to be satisfied that an individual holds a legal professional qualification that is recognised by the SRA, which confers rights to practise in England and Wales or in an overseas [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#overseas>] jurisdiction.
- 1.3 A decision made under regulation 3.1(b) not to be satisfied that an individual holds a degree [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#degree>] or qualifications or experience which are equivalent to a degree [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#degree>] .
- 1.4 A decision made under regulation 3.2 to refuse to grant an individual an exemption from all or part of the assessment under regulation 1.1(a).
- 1.5 A decision made under regulation 3A.2 not to be satisfied that an individual has completed all or any part of the academic stage of training [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#academic-stage-of-training>] or the vocational stage of training [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#vocational-stage-of-training>] by equivalent means.
- 1.6 A decision made under regulation 3B.2(a) to refuse to recognise all or any part of an apprenticeship.
- 1.7 A decision under regulation 3B.2(b) to require further steps or training to be undertaken including imposing conditions.
- 1.8 A decision made under regulation 3E.2(a) to refuse to recognise all or part of a period of recognised training [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#period-of-recognised-training>] .
- 1.9 A decision made under regulation 3E.2(b) to require further steps or training to be undertaken including imposing conditions.
- 1.10 A decision made under regulation 5.1 to refuse to issue a certificate of satisfaction.
- 1.11 A decision made under regulation 5.2 not to be satisfied as to an individual's character and suitability [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#character-and-suitability>] to be a solicitor [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>] .
- 1.12 A decision made under regulation 5.3 to refuse to admit an individual as a solicitor [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>] .

regulations/glossary/#solicitor] after a certificate of satisfaction has been issued.

- 1.13** A decision made under regulation 5.6(a)(ii) to remove a solicitor's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>] name from the roll.
- 1.14** A decision made under regulation 5.6(b) to refuse to remove a solicitor's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>] name from the roll.
- 1.15** A decision made under regulation 5.9 to refuse to restore a solicitor's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>] name to the roll.
- 1.16** A decision made under regulation 7.1(a) to refuse an application for a practising certificate, or registration or renewal of registration in the register of European lawyers [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-European-lawyers>] or the register of foreign lawyers [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-foreign-lawyers>] .
- 1.17** A failure to make a decision under regulation 6.1 within four months in respect of an application for initial registration in the register of European lawyers [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-European-lawyers>] .
- 1.18** A decision made under regulation 7.1(b) to impose conditions on a practising certificate or the registration of a European lawyer [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#lawyer>] or foreign lawyer [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#foreign-lawyer>] .
- 1.19** A decision to refuse approval for the taking of steps specified in conditions under regulation 7.1(b).
- 1.20** A decision made under regulation 8.4 to revoke a practising certificate or withdraw registration in the register of European lawyers [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-European-lawyers>] or the register of foreign lawyers [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-foreign-lawyers>] save for where 8.4(b) applies.
- 1.21** A decision made under regulation 9.10 not to be satisfied in respect of a higher courts advocacy qualification [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#higher-courts-advocacy-qualification>] .

### *Education, Training and Assessment providers*

As set out in the SRA Education, Training and Assessment Provider Regulations:





- 1.1** A decision made under regulation 1.4(b) or 2.3(b) to refuse to grant approved education provider  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#approved-education-provider>] , authorised education provider  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-education-provider>] or authorised training provider [ <https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-training-provider>] status.
- 1.2** A decision made under regulation 1.4(a) or 2.3(a) to grant the application for approval or authorisation subject to such conditions and for such period as the SRA  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] considers appropriate.
- 1.3** A decision made under regulation 1.5(a) or 2.4(a) to revoke approved education provider  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#approved-education-provider>] , authorised education provider  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-education-provider>] or authorised training provider [ <https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-education-provider>] status.
- 1.4** A decision made under regulation 1.5(b) or 2.4(b) to make approval or authorisation subject to such conditions as the SRA [ <https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] considers appropriate.
- 1.5** A decision made under regulation 2.4(c) to require an authorised training provider  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-training-provider>] to appoint a new training principal [ <https://www.sra.org.uk/solicitors/standards-regulations/glossary/#training-principal>] .
- 1.6** A decision made under regulation 6.3(b) or 6A.3(b) to refuse to approve an organisation to provide higher rights of audience Police Station Representative Accreditation Scheme assessments.
- 1.7** A decision made under regulation 6.3(a) or 6A.3(a) to grant the application of approval subject to such conditions as the SRA [ <https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] considers appropriate.
- 1.8** A decision made under regulation 6.5(a) or 6A.6(a) to revoke the approval.
- 1.9** A decision made under regulation 6.5(b) or 6A.6(b) to make the approval subject to such conditions as the SRA  
[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#SRA>] considers appropriate.

As set out in the SRA Authorisation of Firms Rules:

- 1.1** A decision made under rule 2.2 to refuse authorisation.
- 1.2** A decision made under rule 3.1 to impose conditions on authorisation.
- 1.3** A decision to refuse approval for the taking of steps specified in conditions under rule 3.3(c).
- 1.4** A decision under rule 4.3 or 4.4 to revoke or suspend a body's authorisation.
- 1.5** A decision made under rule 12.1 to extend, revoke or vary any terms or conditions on a body's authorisation or to refuse an application to do so.
- 1.6** A decision made under rule 13.1 to refuse approval of a person's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] designation as a manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] , owner [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#owner>] , or compliance officer [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#compliance-officer>] .
- 1.7** A decision made under rule 13.8 to grant conditional approval of a person's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] designation or the holding of a material interest [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#material-interest>] in a licensed body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body>] .
- 1.8** A decision made under rule 13.9 to withdraw approval of a person's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] designation as a manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] , owner [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#owner>] , or compliance officer [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#compliance-officer>] .
- 1.9** A failure to decide an application for authorisation of a licensed body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body>] or approval of a manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] , owner [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#owner>] , or compliance officer [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#compliance-officer>] within the decision period.

### *Regulatory and Disciplinary*

As set out in the SRA Regulatory and Disciplinary Procedure Rules:



- 1.1 A decision made under rule 3.1, save for a decision to make an application to the Tribunal  
[\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Tribunal\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#Tribunal) under rule 3.1(g).
- 1.2 A decision made under rule 3.2(a) to impose interim conditions.
  - 2A. A decision made under rule 7.2 that a disqualification should remain in force.
- 1.3 A decision made under rule 9.2 to publish a decision.

#### *Miscellaneous*

- 1.1 A decision made under the SRA Compensation Fund Rules 2019 or the SRA Compensation Fund Rules 2021 not to make a grant of the whole or part of the amount applied for from the Fund.
- 1.2 Any decisions in respect of which there is a right of external appeal as set out in annex 2 or 3, that are not covered above.

## *Annex 2: Decisions made by the SRA with a right of appeal to the Tribunal*

### *Firm authorisation*

As set out in the SRA Authorisation of Firms Rules:

- 1.1 A decision made under rule 2.2 to refuse authorisation as a licensed body [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body) .
- 1.2 A decision made under rule 3.1 to impose conditions on the authorisation of a licensed body  
[\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body) .
- 1.3 A decision in respect of a licensed body  
[\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body) to refuse approval for the taking of steps specified in conditions under rule 3.3(c).
- 1.4 A decision made under rule 4.4 to revoke or suspend a licensed body's [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body) authorisation.
- 1.5 A decision made under rule 12.1 to extend, revoke or vary any terms or conditions on a licensed body's  
[\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body) authorisation or to refuse an application to do so.
- 1.6 A decision made under rule 13.1 to refuse approval of a person's [\[https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person\]](https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person) designation as a manager



- [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>]  
, **owner** [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#owner>] , or **compliance officer** [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#compliance-officer>] of a licensed body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body>] .
- 1.7** A decision made under rule 13.8 to grant approval or conditional approval of the holding of a material interest [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#material-interest>] in a licensed body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body>] .
- 1.8** A decision made under rule 13.9 to withdraw approval of a person's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] designation as a manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] , **owner** [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#owner>] , or **compliance officer** [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#compliance-officer>] of a licensed body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body>] .

### *Regulatory and Disciplinary*

As set out in the SRA Regulatory and Disciplinary Procedure Rules:

- 1.1** A decision made under rule 3.1(a) to give a written rebuke.
- 1.2** A decision made under rule 3.1 (b) to direct the payment of a financial penalty together with the amount of that penalty.
- 1.3** A decision made under rule 3.1(c) to disqualify a person [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] from acting as a HOLP [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#HOLP>] , **HOFA** [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#HOFA>] , **manager** [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] or **employee** [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#employee>] of a licensed body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#licensed-body>] .
- 1.4** A decision made under rule 3.1(d) to make an order to control a person's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] activities in connection with legal practice.
- 4A.** A decision made under rule 7.2 that a disqualification should remain



- 1.5 A decision made under 9.2 to publish a decision.

## *Annex 3: Decisions made by the SRA with a right of appeal to the High Court*

### *Individual Authorisation*

As set out in the SRA Authorisation of Individuals Regulations:

- 1.1 A decision made under regulation 3E.2(a) to refuse to recognise all or part of a period of recognised training [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#period-of-recognised-training>] .
- 1.2 A decision made under regulation 4.1 to refuse an application for admission as a solicitor [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>] made under Part V of the European Communities (Lawyer's Practice) Regulations 2000.
- 1.3 A decision made under regulation 5.1 to refuse to issue a certificate of satisfaction.
- 1.4 A decision made under regulation 5.3 to refuse to admit an individual as a solicitor [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>] after a certificate of satisfaction has been issued.
- 1.5 A decision made under regulation 5.6(a)(ii) to remove a solicitor's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>] name from the roll.
- 1.6 A decision made under regulation 5.6(b) to refuse to remove a solicitor's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>] name from the roll.
- 1.7 A decision made under regulation 5.9 to refuse to restore a solicitor's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>] name to the roll.
- 1.8 A decision made under regulation 7.1(a) to refuse an application for a practising certificate, or registration or renewal of registration in the register of European lawyers [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-European-lawyers>] or the register of foreign lawyers [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-foreign-lawyers>] .
- 1.9 A decision made under regulation 7.1(b) to impose conditions on a practising certificate or the registration of a European lawyer [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#lawyer>] or foreign lawyer [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#foreign-lawyer>] .
- 1.10 A decision made under regulation 8.4 to revoke a practising certificate or withdraw registration in the register of



European lawyers [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-European-lawyers>] or the register of foreign lawyers [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-foreign-lawyers>] .

- 1.11** A failure to determine within 4 months an application for initial registration or revocation of registration in the register of European lawyers [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#register-of-European-lawyers>] .

### *Firm authorisation*

As set out in the SRA Authorisation of Firms Rules:

- 1.1** A decision made under rule 2.2 to refuse authorisation of a recognised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-body>] or recognised sole practice [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-sole-practice>] .
- 1.2** A decision made under rule 4.3 to revoke or suspend authorisation of a recognised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-body>] or recognised sole practice [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-sole-practice>] .
- 1.3** A decision made under 3.1 to impose conditions on authorisation of a recognised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-body>] or recognised sole practice [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-sole-practice>] .
- 1.4** A decision made under rule 13.9 to withdraw approval of a person's [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#person>] designation as a COLP [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#COLP>] , COFA [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#COFA>] , manager [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#manager>] or owner [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#owner>] of a recognised body [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-body>] or recognised sole practice [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#recognised-sole-practice>] .

### *Miscellaneous*

- 1.1** A refusal to grant permission to a solicitor [<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>] to employ or remunerate in connection with their practice



any individual who to their knowledge has been disqualified from practising as a solicitor

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>]

as a result of being struck off the roll; or who is suspended from practice as a solicitor

[<https://www.sra.org.uk/solicitors/standards-regulations/glossary/#solicitor>] ;

or whose practising certificate is suspended as a result of being an undischarged bankrupt.

## Supplemental notes

Made by the SRA Board on 30 May 2018.

Made under sections 2, 13, 28 and 31 of the Solicitors Act 1974, section 9 of the Administration of Justice Act 1985, section 89 of, and paragraphs 2 and 3 of Schedule 14 to, the Courts and Legal Services Act 1990, and section 83 of, and Schedule 11 to, the Legal Services Act 2007.

### *SRA Application, Notice, Review and Appeal Rules*

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Guidance (2) []

#### Tags

Authorisation [<https://www.sra.org.uk/solicitors/standards-regulations/index/#12884941438>] Law degrees & education providers [<https://www.sra.org.uk/solicitors/standards-regulations/index/#12884941452>] Disciplinary procedures & decisions [<https://www.sra.org.uk/solicitors/standards-regulations/index/#12884941459>] Other regulation topics [<https://www.sra.org.uk/solicitors/standards-regulations/index/#12884941492>]  
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## Guidance

### Guidance

Approval of employment under s41 and s43 of the Solicitors Act 1974 - Guidance  
[<https://www.sra.org.uk/solicitors/guidance/approval-employment-under-s41-s43-solicitors-act-1974/>]

Guidance: To explain how you can apply to us for our written permission to employ someone who has a control order or been suspended from practice.

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

Decision making: 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.

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