



SRA Update

Issue 110 - December 2022

- [General updates \[#tab_34511\]](#)
- [Compliance updates \[#tab_34512\]](#)

Welcome to the latest issue of SRA Update. We share details of our thematic review into immigration services, which found that overall there's a good level of provision. However, there are still some areas of concern, so we have produced guidance alongside that review, along with general guidance on the supervision of staff – an issue touched on in the review – for all firms now that flexible working is so widespread. Our new guidance on the Government's financial sanctions regime should be a must-read for all of you, as is our warning notice on abusive litigation aimed at stifling proper scrutiny (Strategic Litigation against Public Participation - SLAPPs). There is also still time to have your say on how a scheme for negligence claims made more than six years after a firm closes might be run. Finally, best wishes to you for a merry Christmas and Happy New Year.

Paul Philip

Chief Executive

Review looks at immigration services

[\[https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/immigration-thematic-supervision-guidance/\]](https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/immigration-thematic-supervision-guidance/)

We have published new guidance on providing immigration services which should help those undertaking such work, along with general guidance on supervision. The guidance follows our thematic review into the sector, which looked at the continuing competence of those providing the services.

[Read more about: Review looks at immigration services](#)

[\[https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/immigration-thematic-supervision-guidance/\]](https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/immigration-thematic-supervision-guidance/)

Grant won to develop dispute resolution approaches

[\[https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/dispute-resolution-approaches/\]](https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/dispute-resolution-approaches/)

We have been awarded a grant from the latest round of Regulators Pioneer Fund (RPF) to explore ways to increase the use of technology-



enabled dispute resolution to help individuals and businesses resolve legal issues, without the need to go to court.

[Read more about: Grant won to develop dispute resolution approaches](https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/dispute-resolution-approaches/)
[<https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/dispute-resolution-approaches/>]

Guidance issued on abusive litigation

[\[https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/solicitors-warned-slapps/\]](https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/solicitors-warned-slapps/)

With the issue of the misuse of abusive litigation aimed at silencing legitimate critics, known as strategic lawsuits against public participation (SLAPPs) continuing to be of concern we have issued guidance to help those potentially on the receiving end of such action. Alongside this we have issued a warning notice to law firms, making it clear that such behaviour is not acceptable, and advising you what to do if you feel other firms are engaging in such activity.

[Read more about: Guidance issued on abusive litigation](https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/solicitors-warned-slapps/)
[<https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/solicitors-warned-slapps/>]

Get up to speed with lawtech news

[\[https://publications.sra.org.uk/lawtech-insight-november-2022/\]](https://publications.sra.org.uk/lawtech-insight-november-2022/)

Read the latest edition of our Lawtech Insight newsletter, which pulls together the latest news and opinions on technology and innovation in the legal sector and beyond. Among the articles in this issue, Joanna Goodman explores how technology innovation is transforming high-street law firms, kickstarted by the pandemic.

[Read more about: Get up to speed with lawtech news](https://publications.sra.org.uk/lawtech-insight-november-2022/)
[<https://publications.sra.org.uk/lawtech-insight-november-2022/>]

Keeping of the Roll returns next year

[\[https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/annual-exercise-solicitors-practising-certificates/\]](https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/annual-exercise-solicitors-practising-certificates/)

From next year, we are planning to reintroduce a requirement for solicitors without a current practising certificate to apply to remain on the roll. Ahead of this it is important that all solicitors without a practising certificate check that their contact details within mySRA are up to date.

[Read more about: Keeping of the Roll returns next year](https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/annual-exercise-solicitors-practising-certificates/)
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SRA-run indemnity scheme for post six-year negligence

[\[https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/sif-replacement-consultation/\]](https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/sif-replacement-consultation/)

There is still time to have your say on our proposals for arrangements and rules for an indemnity scheme to provide future consumer protection for post six-year negligence. We would run the scheme, which would, come into effect from September 2023.

[Read more about: SRA-run indemnity scheme for post six-year negligence \[https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/sif-replacement-consultation/\]](https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/sif-replacement-consultation/)

Familiarise yourselves with new ombudsman rules

[\[https://upgrade.sra.org.uk/sra/news/sra-update-109-leo-rules/\]](https://upgrade.sra.org.uk/sra/news/sra-update-109-leo-rules/)

The Legal Ombudsman (LeO) has consulted on a number of changes to its scheme rules, which come into effect on 1 April, 2023. LeO is keen for you to look at what's being proposed so that you know what it means for you and how it might affect you.

[Read more about: Familiarise yourselves with new ombudsman rules \[https://upgrade.sra.org.uk/sra/news/sra-update-109-leo-rules/\]](https://upgrade.sra.org.uk/sra/news/sra-update-109-leo-rules/)

Your health, your career

[\[https://upgrade.sra.org.uk/solicitors/resources-archived/your-health-your-career/\]](https://upgrade.sra.org.uk/solicitors/resources-archived/your-health-your-career/)

Are you worried about your health affecting your work? Life as a solicitor can be challenging and the demands and pressures can easily build up. We can signpost you to sources of help and make adjustments for you if you are in difficulty.

[Read more about: Your health, your career \[https://upgrade.sra.org.uk/solicitors/resources-archived/your-health-your-career/\]](https://upgrade.sra.org.uk/solicitors/resources-archived/your-health-your-career/)

Welcome to the Compliance News section of the latest issue of SRA Update. We have produced guidance on the Government's financial sanctions regime, which should be a must-read for all of you. The sanctions affect every firm, not just those captured by the anti-money laundering regulations. We have also issued a warning notice on abusive litigation aimed at stifling proper scrutiny (Strategic Litigation against Public Participation - SLAPPs). We are currently investigating 29 firms



that might have been involved in such action. Please do also take time to read our thematic review into immigration services, and the associated guidance, and general guidance on the supervision of staff. And for those of you that missed our Compliance Officers Conference last month, find out how to catch up on all the highly informative sessions. All that remains to be said is to wish you and yours a merry Christmas and Happy New Year.

Paul Philip

Chief Executive

Financial sanctions guidance

[\[https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/sanctions-regime-stay-compliant/\]](https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/sanctions-regime-stay-compliant/)

The focus on how UK businesses interact with those connected to questionable countries or organisations, and the Government's sanctions regime, has increased since the Russian invasion of Ukraine. There have been a number of changes to the regime, so we have published guidance to help you understand your obligations.

[Read more about: Financial sanctions guidance](#)

[\[https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/sanctions-regime-stay-compliant/\]](https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/sanctions-regime-stay-compliant/)

Warning about involvement in SLAPPs

[\[https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/solicitors-warned-slapps/\]](https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/solicitors-warned-slapps/)

We are concerned, alongside increasing public concern, about the use of abusive litigation aimed at silencing legitimate critics, known as strategic lawsuits against public participation (SLAPPs). To help you make sure you are not acting inappropriately, and also to help you recognise and report where others may be doing so, read our recently issued warning notice.

[Read more about: Warning about involvement in SLAPPs](#)

[\[https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/solicitors-warned-slapps/\]](https://upgrade.sra.org.uk/sra/news/press/2022-press-releases/solicitors-warned-slapps/)

Compliance Officers Conference - catch up on all you missed

[\[https://upgrade.sra.org.uk/sra/news/events/on-demand-events/compliance-conference-2022/\]](https://upgrade.sra.org.uk/sra/news/events/on-demand-events/compliance-conference-2022/)

If you could not make it to this year's Compliance Officers Conference, or want to catch up on any sessions you missed, you can now catch up with what happened by watching back session from our virtual event. We



have 11 sessions available for you, covering topics as diverse as anti-money laundering, cybercrime, compliance queries, innovation and more besides.

[Read more about: Compliance Officers Conference – catch up on all you missed \[https://upgrade.sra.org.uk/sra/news/events/on-demand-events/compliance-conference-2022/\]](https://upgrade.sra.org.uk/sra/news/events/on-demand-events/compliance-conference-2022/)

Transparency rules – more checks on website information

[\[https://upgrade.sra.org.uk/sra/news/sra-update-107-transparency-rules-checks/\]](https://upgrade.sra.org.uk/sra/news/sra-update-107-transparency-rules-checks/)

We will soon be starting a rolling programme of checks on all law firm websites to make sure you are complying with our transparency rules. Ahead of this, please take a moment to double check you are compliant with all of our transparency requirements.

[Read more about: Transparency rules – more checks on website information \[https://upgrade.sra.org.uk/sra/news/sra-update-107-transparency-rules-checks/\]](https://upgrade.sra.org.uk/sra/news/sra-update-107-transparency-rules-checks/)

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