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Disciplinary procedures

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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](#)

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

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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](#)

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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://upgrade.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://upgrade.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://upgrade.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://upgrade.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

[\[https://upgrade.sra.org.uk/solicitors/guidance/investigations-on-site/\]](https://upgrade.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.

[How we make decisions and the criteria we apply - Guidance](https://upgrade.sra.org.uk/solicitors/guidance/make-decisions-criteria-apply/)

[\[https://upgrade.sra.org.uk/solicitors/guidance/make-decisions-criteria-apply/\]](https://upgrade.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.

[Parallel investigations - Guidance](https://upgrade.sra.org.uk/solicitors/guidance/investigations-parallel/)

[\[https://upgrade.sra.org.uk/solicitors/guidance/investigations-parallel/\]](https://upgrade.sra.org.uk/solicitors/guidance/investigations-parallel/)

25 November 2019

To help you understand our approach towards investigating breaches of our regulatory requirements which relate to the same or similar underlying facts as concurrent civil, regulatory or criminal proceedings.

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