

# Who can make decisions at the SRA

Updated 2 May 2024 (Updated from 30 May 2023)

This document [formerly known as 'Schedule of delegations'] outlines who can make regulatory decisions at the Solicitors Regulation Authority (SRA) and their role and responsibilities. We have included a glossary function which explains some technical phrases used throughout this document.

## How does delegation work?

The SRA Board can delegate its functions to sub-committees and individuals, including to SRA staff. The Board's executive functions and regulatory powers are also delegated by the Board to the Executive.

Below, we have set out the regulatory decisions that are delegated to certain staff groups or individuals to make. All staff are sufficiently trained, experienced and competent to make these decisions. The Chief Executive is able at any time to delegate authority on a case by case basis unless the rules themselves set out who can make a decision.

In this document:

- Any references to standards, regulations or statutory provisions include any updated or amended versions produced following the publication of this document.
- References to a job title or role includes individuals undertaking the same or equivalent role in the future, should the job title or role change.
- References to a directorate, function or unit includes a directorate, function or unit fulfilling the same or equivalent role in the future
- 'Adjudication' means an Adjudicator, an adjudication panel or the Chief Adjudicator
- 'Director(s)' includes all Directors, Deputy General Counsel, Deputy Executive Directors, Executive Directors, the Chief of Staff and the Chief Executive of the SRA
- 'Heads' includes all persons described as 'Head' of a function in their job title
- 'Licensed body' includes any body applying to become a licensed body
- 'Recognised body' includes a legal services body and any body applying to become a recognised body
- 'Investigation' includes Supervision, Forensic Investigations, the Assessment Team and the Intelligence Team at the SRA
- 'Technical Adviser(s)' includes Senior Technical Advisers and Senior Authorisation Advisers



- References to the 'SA 1974' means the Solicitors Act 1974, 'CLSA 1990' means the Courts and Legal Services Act 1990, 'AJA 1985' means the Administration of Justice Act 1985, and 'LSA 2007' means the Legal Services Act 2007.

## Decisions by number

No.	Decision	Job role/department
	To decide the outcome of a review of:	Adjudication, Directors and Heads, Senior Technical Adviser/Technical Manager in Client Protection: decision (1)
1	<ol style="list-style-type: none"> <li>1. decisions relating to Individual and firm authorisation, education, training and assessment providers, regulatory/disciplinary action and decisions made under the Compensation Fund Rules 2019 and the SRA Compensation Fund Rules 2021, that are listed in Annex 1 of the SRA Application, Notice, Review and Appeals Rules</li> <li>2. all other regulatory decisions or to correct an administrative error in, or in relation to, any decision that comes to the our attention, without the need to undergo a review</li> </ol>	Investigation and Supervision - Director, Head of Forensic Investigations and Intelligence, Head of Investigations, Investigation Managers, Investigation Knowledge and Development Manager; Authorisation - Director, Heads of Unit and Technical advisers; Client Protection - Interventions and Statutory Trust Manager, Cost Recovery Team Manager, Compensation Fund Manager, Technical Manager, Team Leaders and Senior Technical Advisers; Head of Ethics Guidance and Ethics Guidance Team Managers; Legal and Enforcement - Director and Heads; Head of Legal General Counsel Advice Team; Chief Adjudicator and Executive Directors: decision (2)
2	<p>To authorise the disclosure or publication of confidential information in the public interest as permitted by law to:</p> <ul style="list-style-type: none"> <li>• law enforcement agencies</li> <li>• regulators or those who exercise regulatory functions</li> <li>• other persons with a legitimate interest in receiving the information.</li> </ul>	Adjudication, Directors and Heads Investigation and Supervision - Investigation Knowledge and Development Manager and Investigation Managers Intelligence Officers Authorisation - Team Leaders and Technical Advisers Legal staff - Legal Advisers, Senior Legal Advisers, Senior Legal Consultant and Case Managers Client Protection - Interventions
	This includes but is not limited to disclosure in accordance with	



	sections 32(4) and 33A(2) of the SA 1974, section 98 of the LSA 2007 and under any SRA rules or regulations	and Statutory Trust Manager, Cost Recovery Team Manager, Compensation Fund Team Managers, Team Leaders, Senior Technical Advisers and Technical Manager
3	To authorise inspection of a file in proceedings in bankruptcy of a solicitor in accordance with section 83 of the SA 1974	Adjudication, Directors and Heads Investigation and Supervision - Investigation Knowledge and Development Manager, and Investigation Managers
4	To oppose admission to the Roll of Solicitors pursuant to section 3(2) of the Solicitors Act 1974	Authorisation - Team Leaders and Technical Advisers Adjudication, Directors and Heads

### **Client protection - the compensation fund, statutory trusts and indemnity insurance**

<b>No.</b>	<b>Decision</b>	<b>Job role/department</b>
		<b>No limit:</b> Adjudication panel save if urgent single adjudicator or Executive Director <b>Up to £1 million:</b> A single Adjudicator <b>Up to £500,000:</b> Director of Client Protection, Technical Manager, Interventions and Statutory Trust Manager, Cost Recovery Team Manager, Compensation Fund Team Manager, Team Leaders and Senior Technical Advisers (in Client Protection) <b>Up to £250,000:</b> Technical Specialists (in Client Protection) <b>Up to £50,000:</b> Complex Caseworkers (in Client Protection)
5	To make decisions in respect of payment or rejection of claims on the compensation fund (up to the value prescribed)	
6	To impose a cap of £5 million in line with Rule 10 of the Compensation Fund Rules 2021 on payments relating to multiple applications for the same or connected claims	<b>£5 million:</b> Executive Directors
7	To decide whether to accept or reject claims on the	<b>No limit:</b> Adjudication, Executive Directors and Director of Client



- compensation fund (up to the value prescribed) in cases where the proposed payment is urgently needed as an interim measure to protect the interests of an applicant or potential applicant to the fund
- 8 To authorise release of funds from the compensation fund in an emergency
- 9 To give an undertaking on behalf of the compensation fund to return an overpayment from a Statutory Trust Account
- 10 To make decisions in respect of payment from the compensation fund to a Statutory Trust Account to return an overpayment
- 11 To make any decision (without limit) in respect of statutory trust money
- 12 To make any decision to make payments up to the value prescribed in respect of statutory trust money
- Protection
- Up to £500,000:** Interventions and Statutory Trust Manager, Technical Manager, Cost Recovery Team Manager, Compensation Fund Team Managers, Team Leaders and Senior Technical Advisers (in Client Protection)
- Up to £250,000:** Technical Specialists (in Client Protection)
- Adjudication and Executive Directors
- Director of Client Protection
- Any two of: Technical Manager, Interventions and Statutory Trust Manager, Cost Recovery Team Manager, Compensation Fund Team Managers, Team Leaders and Senior Technical Advisers, (in Client Protection)
- Interventions and Statutory Trust Manager, Cost Recovery Team Manager, Compensation Fund Team Managers, Team Leaders, Senior Technical Advisers, Technical Specialist, Technical Manager and Director (in Client Protection)
- No limit:** Adjudication
- Up to £500,000:** Interventions and Statutory Trust Manager, Cost Recovery Team Manager, Compensation Fund Team Managers, Team Leaders, Senior Technical Advisers, Technical Manager and Director of Client Protection (in Client Protection)
- Up to £250,000:** Technical Specialists (in Client Protection)
- Adjudication
- In cases of urgency, any two of: Executive Directors and Director of Client Protection
- Up to £500,000:** Director of Client Protection, Technical Manager, Interventions and Statutory Trust Manager, Senior Financial Investigators, Intervention Project Officers, and Senior Technical



13	To pass a resolution under paragraph 6A of Schedule 1 of the SA 1974 or paragraph 4 of Schedule 14 of the LSA 2007, in order to collect debts due to an intervened firm	Advisers (in Client Protection) <b>Up to £100,000</b> ; Technical Specialist in Client Protection Any two of: Director of Client Protection, Interventions and Statutory Trust Manager, Technical Manager in Client Protection, Senior Technical Adviser in Client Protection
14	To issue and defend financial or recovery proceedings in a court or tribunal (and to take preliminary steps such as the service of a statutory demand in bankruptcy) on our behalf or on behalf of the compensation fund	Executive Directors Technical Manager and Director, Interventions and Statutory Trust Manager, Cost Recovery Team Manager, Compensation Fund Team Managers, Team Leaders, Technical Specialists, Senior Technical Advisers, Case working staff (in Client Protection Team)

## Authorisation

### Authorisation - individuals, education and training

<b>No.</b>	<b>Decision</b>	<b>Job role/department</b>
15	To make decisions about an applicant's character and suitability under rule 1.1 of SRA Assessment of Character and Suitability Rules	Adjudication Education and Training - Director, Head of and Policy Managers Authorisation - Director, Heads of Unit, Technical Advisers, Team Leaders, Authorisation Officers levels 2 & 3
16	To grant applications or authorisations under the SRA Authorisation of Individuals Regulations including: <ol style="list-style-type: none"> <li>1. Determining eligibility for admission as a solicitor</li> <li>2. Granting applications for recognition of academic or vocational stage completion by equivalent means</li> <li>3. Recognising or requiring specified steps be taken or extending periods of training</li> </ol>	Authorisation - all staff: decisions (1) to (8) Adjudication - all decisions (1) to (10) Authorisation - Director, Heads of Unit, Technical Advisers, Team Leaders, and Authorisation Officers Level 2 and Level 3: decision (9) Education and Training - Director, Head of and Policy Managers: decision (9) Education and Training -



4. Granting applications for admission to the Roll of Solicitors
5. Granting applications for removal from the Roll of Solicitors
6. Granting applications for practising certificates
7. Granting applications for registration as a European lawyer
8. Granting applications for registration as a foreign lawyer
9. Granting applications from individuals for exemptions in respect of all or part of the Solicitors Qualifying Examination (SQE) assessment
10. Granting applications for all lawyers who hold a particular title in a particular jurisdiction for exemptions in respect of all or part of the SQE assessment

Director and Head of: decision (10)

To:

1. Remove solicitors from the Roll of Solicitors under regulation 5.6(a)(i) of the SRA Authorisation of Individuals Regulations where following an enquiry they tell us that they do not wish to remain on the roll
- 17 2. Remove solicitors from the Roll of Solicitors under regulation 5.6(a)(ii) of the SRA Authorisation of Individuals Regulations where following an enquiry they do not, within eight weeks from the date of the notice, reply to us and pay the fee to remain on the Roll of Solicitors
- 18 To refuse, revoke or vary authorisations under the SRA Authorisation of Individuals Regulations including:

Authorisation – all staff: decision (1)

Authorisation – Director, Heads of Unit and Technical Advisers: decision (2)

Adjudication: all decisions (1) to (13)

Education and Training – Director, Head of and Policy Managers: all decisions (1) to



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|    | <ol style="list-style-type: none"><li>1. Refusing applications for recognition of academic or vocational stage of qualification completed by equivalent means</li><li>2. Determining completion of an apprenticeship</li><li>3. Refusing to recognise (all or part of), requiring specified steps to be taken, extending periods of training</li><li>4. Refusing applications for admission to the Roll of Solicitors</li><li>5. Refusing applications for removal from the Roll of Solicitors</li><li>6. Refusing applications for Practising Certificates</li><li>7. Refusing applications for registration as a European lawyer</li><li>8. Refusing applications for registration as a foreign lawyer</li><li>9. Imposing conditions on practising certificates or registration</li><li>10. Revoking or varying conditions on practising certificates or registration</li><li>11. Shortening or removing the 28 days' notice under regulation 7.5</li><li>12. Revoking a practising certificate or withdrawing registration</li><li>13. Refusing applications for exemptions in respect of all or part of the SQE assessment</li></ol> | <p>(13)</p> <p>Authorisation - all staff: decisions (1) to (12)</p> <p>Authorisation - Director, Heads of Unit, Technical Advisers, Team Leaders, and Authorisation Officers Level 2 and Level 3: decision (13)</p> <p>Investigation and Supervision - Director, Head of Investigations, Head of Forensic Investigations and Intelligence, Investigation Knowledge and Development Manager and Investigation Managers: decisions (10) and (11)</p> |
| 19 | To grant or refuse applications to extend the six year period to complete the SQE assessment under the SQE Assessment Regulations   | Education and Training - Director, Head of and Policy Managers<br>Authorisation - Director, Heads of Unit, Technical Advisers, Team Leaders, and Authorisation Officers Level 2 and Level 3  |
| 20 | To grant approvals or authorisations under the SRA Education, Training  | Authorisation - all staff<br>Adjudication<br>Education and Training -  |





and Assessment Provider Regulations including: Director, Head of and Policy Managers: decisions (1) to (3)

1. Granting an application for approval or authorisation as a training provider
2. Approving an organisation to provide assessments in High Courts Civil and Criminal Advocacy and to confer a Higher Courts Advocacy Qualification (Higher Rights of Audience qualification)
3. Approving an organisation to provide assessments for the Police Station Representative Accreditation Scheme Assessment

21 To refuse, revoke or vary authorisations under the SRA Education, Training and Assessment Provider Regulations including:

1. Refusing an application for approval or authorisation as a training provider
2. Imposing conditions on an authorised training provider
3. Revoking authorisation as a training provider
4. Requiring an authorised training provider to appoint a new training principal
5. Refusing (subject to conditions or otherwise) to approve an organisation to provide assessments in High Courts Civil and Criminal Advocacy and to confer a Higher Courts Advocacy (Higher Rights of Audience) Qualification and to provide the Police Station Representative Accreditation Scheme assessment
6. Revoking an authorised Higher Rights or Police Station Representative Accreditation Scheme providers approval

Adjudication: all decisions (1) to (7)  
Authorisation – all staff: decisions (1) to (4)  
Education and Training – Director, Head of and Policy Managers: decisions (5) to (7)





7. Making an authorised Higher Rights or Police Station Representative Accreditation Scheme Providers approval subject to conditions

22	To determine applications for membership of professional accreditation schemes, panels and awards, including the waiving of requirements and to revoke membership of professional accreditation schemes, panels and awards.	Adjudication Education and Training - Director, Head of and Policy Managers Authorisation - Director, Heads of Unit, Technical Advisers, Team Leaders, and Authorisation Officers Level 2 and Level 3
23	<p>In respect of the granting of applications for approval of employment under sections 41 or 43 of the Solicitors Act 1974:</p> <p>1.to grant approval unconditionally, or subject to any conditions or requirements which have not been objected to by the person or persons concerned</p> <p>2.to refuse approval, or grant approval with conditions (whether objected to or not)</p> <p>In respect of an application to terminate a suspended practising certificate:</p>	All Investigation and Supervision and Authorisation staff can make decision (1) Adjudication: decision (2) Authorisation - Director, Heads of Unit, Technical Advisers and Team leaders: decision (2)
24	<p>1. to terminate the suspension, including conditions which have not been objected to by the person concerned</p> <p>to refuse to terminate the suspension, or to terminate the suspension subject to conditions</p>	Authorisation - all staff: decision (1) Adjudication: decision (2) Authorisation - Director, Heads of Unit, Technical Advisers and Team leaders: decision (2)
25	In accordance with the powers under articles 12-14 of the European Communities (Services of Lawyers) Order 1978 to determine whether the person has verified their status to the SRA's satisfaction	Adjudication, Directors and Heads

**Authorisation - firms**



No.	Decision	Job role/department
26	<p data-bbox="277 280 938 387">To grant approvals or authorisations with conditions or otherwise under the SRA Authorisation of Firms Rules including:</p> <ol data-bbox="319 427 1066 2045" style="list-style-type: none"><li data-bbox="319 427 1023 499">1. Granting an application for authorisation unconditionally or with agreed conditions</li><li data-bbox="319 504 1018 575">2. Granting an application for authorisation with conditions which are objected to</li><li data-bbox="319 580 1034 696">3. Imposing conditions on a body's authorisation (where there is no objection and also where there is an objection)</li><li data-bbox="319 701 1018 772">4. Revoking or suspending authorisation on application of the body concerned</li><li data-bbox="319 777 1066 1630">5. Determining that an authorised body is not required to comply with rule 9.1 of the SRA Authorisation of Firms Rules (to seek approval of a manager or owner of the authorised body), where managers are not involved in the activities set out in rule 9.3(a) to (c) as follows:<ol data-bbox="399 1032 1066 1630" style="list-style-type: none"><li data-bbox="399 1032 1066 1171">a. the day to day or strategic management of the <a href="https://guidance.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body">authorised body</a> [<a href="https://guidance.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body">https://guidance.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body</a>];</li><li data-bbox="399 1176 1066 1406">b. compliance by the <a href="https://guidance.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body">authorised body</a> [<a href="https://guidance.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body">https://guidance.sra.org.uk/solicitors/standards-regulations/glossary/#authorised-body</a>] with the <a href="https://guidance.sra.org.uk/solicitors/standards-regulations/glossary/#regulatory-arrangements">SRA's regulatory arrangements</a> [<a href="https://guidance.sra.org.uk/solicitors/standards-regulations/glossary/#regulatory-arrangements">https://guidance.sra.org.uk/solicitors/standards-regulations/glossary/#regulatory-arrangements</a>]; or</li><li data-bbox="399 1411 1066 1630">c. the carrying on of <a href="https://guidance.sra.org.uk/solicitors/standards-regulations/glossary/#reserved-legal-activities">reserved legal activities</a> [<a href="https://guidance.sra.org.uk/solicitors/standards-regulations/glossary/#reserved-legal-activities">https://guidance.sra.org.uk/solicitors/standards-regulations/glossary/#reserved-legal-activities</a>], or the provision of legal services in England and Wales</li></ol></li><li data-bbox="319 1635 906 1706">6. Extending, revoking or varying an authorised body's terms and conditions</li><li data-bbox="319 1711 1066 1783">7. Approving a manager, owner, COLP or COFA of an authorised body</li><li data-bbox="319 1787 1066 1933">8. Approving a manager, owner, COLP or COFA of an authorised body, subject to conditions being imposed on the authorisation of the body (where there is no objection)</li><li data-bbox="319 1937 1066 2045">9. Approving a restricted interest under Schedule 13 LSA subject to a condition on that approval (where there is no objection)</li></ol>	<p data-bbox="1082 280 1385 387">Authorisation - All staff: decisions (1) to (13)</p> <p data-bbox="1082 392 1385 499">Adjudication: decisions (1) to(14)</p> <p data-bbox="1082 504 1385 730">Authorisation - Director, Heads of Unit, Technical Advisers and Team leaders: decision (14)</p>



10. Approval of a manager, owner, COLP or COFA of an authorised body, subject to conditions being imposed on the authorisation of a body (where there is objection)
  11. Approval of a restricted interest under Schedule 13 LSA subject to a condition on that approval (where there is objection)
  12. Approval of a beneficial owner, officer, or manager of an Independent legal practitioner
  13. Recommendation that a trust or company service provider or a beneficial owner, officer or manager of trust or company service provider, is fit and proper to carry out the work of a trust or service company provider
  14. Deciding to transfer or substitute authorisation of a body or approval of a manager, owner, COLP or COFA and to determine what application requirements apply
- 27 To refuse applications or authorisations under the SRA Authorisation of Firms Rules including;
1. Refusing an application for authorisation
  2. Revoking or suspending authorisation on procedural grounds
  3. Suspending or revoking authorisation on any grounds
  4. Refusing to approve a manager, owner, COLP or COFA of an authorised body
  5. Objecting to the holding of a restricted interest in a licensed body
  6. Withdrawal of approval of a manager, owner, COLP or COFA of an authorised body.
  7. Objecting to the holding of an existing approved restricted interest holder in a licensed body
  8. Refusal of approval of a beneficial owner, officer or manager of an independent legal practitioner
  9. Recommending that a trust or company service provider, or a beneficial owner, officer or manager or a trust or company service provider is NOT fit and proper to carry out the work of a trust or company service provider
- Authorisation - all staff: decisions (1) to (6)  
Adjudication: decisions (1) to (9)  
Authorisation - Director, Heads of Unit, Technical Advisers and Team leaders: decisions (7) to (9)



28	Withholding from publication all or some information that would usually be published in the public interest	Adjudication and Executive Directors Authorisation - all staff
29	<p>In respect of determining or modifying the reserved legal activities which a licensed body is authorised to carry out for the purposes of section 85 and 86 of the Legal Services Act 2007 (including upon first application for a licence):</p> <ol style="list-style-type: none"> <li>1. To grant or amend the term of the licence where this is not objected to by the person or persons concerned</li> <li>2. To grant or amend the term of the licence whether objected to or not</li> </ol>	<p>All Investigation and Supervision and Authorisation staff: decision (1) Adjudication and Executive Directors: decision (2) Authorisation - Director, Heads of Unit, Technical Advisers and Team leaders: decision (2) In respect of the exercise of these powers, all persons listed above may give notice of the same or decide to remove the notice requirement.</p>

### **Authorisation - other**

<b>No.</b>	<b>Decision</b>	<b>Job role/department</b>
30	To require an accountant's report to be obtained or delivered in accordance with rule 12.4 of the SRA Accounts Rules	Authorisation - all staff Adjudication
31	To make orders and exercise associated powers in relation to modifying the application of licensing rules for special bodies arising from sections 106 and 107 of the Legal Services Act 2007	Adjudication Executive Directors

### **Investigation**

<b>No.</b>	<b>Decision</b>	<b>Job role/department</b>
32	To authorise an onsite inspection	Adjudication Director and Heads



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| 33 | To decide that it would not be in the public interest to notify the person subject to the decision or their employer of an investigation into an allegation   | Investigation and Supervision<br>- Investigation Knowledge and Development Manager and Investigation Managers<br>Investigation and Supervision<br>- Director, Head of Investigations, Head of Forensic Investigations and Intelligence, Investigation Knowledge and Development Manager and Investigation Managers<br>Adjudication, Directors and Heads                    |
| 34 | To issue letters of advice or a warning regarding future conduct or behaviour under rule 2.4 of the SRA Regulatory and Disciplinary Procedure Rules (RDPR)  | Investigation and Supervision<br>- Investigation Knowledge and Development Manager and Investigation Managers<br>Legal staff - Case Managers, Senior Legal Consultant, Senior Legal Advisers and Legal Advisers<br>Adjudication and Executive Directors  |
| 35 | To decide not to give notice of an investigation to the relevant person under rule 2.5 of the RDPR where a further allegation is intended to be included in a matter already subject to an application or ongoing proceedings before the tribunal, or where we intend to make an urgent application to the tribunal in a case in which we are exercising our powers of intervention or it is otherwise in the public interest to do so. | Investigation and Supervision<br>- Director, Head of Investigations, Head of Forensic Investigations and Intelligence, Investigation Knowledge and Development Manager and Investigation Managers<br>Legal staff - Executive Director, Director of Legal and Enforcement and Chief Adjudicator, Head of Legal and Enforcement, Head of Legal - General Counsel Advice Team |
| 36 | To vary the procedures as per rule 8.1 of the RDPR relating to evidential and procedural matters if we consider it to be in the interests of justice or in the overriding public interest to do so.   | Adjudication and Executive Directors<br>Investigation and Supervision<br>- Director, Head of Investigations, Head of Forensic Investigations and Intelligence, Investigation Knowledge and Development Manager and Investigation   |



37	To decide to suspend a practising certificate	<p>Managers  Legal staff – Director of Legal and Enforcement, Head of Legal and Enforcement and Head of Legal General Counsel Advice Team</p> <p>Adjudication  Investigation and Supervision – Director, Head of Investigations and Head of Forensic Investigations and Intelligence</p> <p>Legal staff - Director of Legal and Enforcement, Head of Legal and Enforcement, Head of Legal General Counsel Advice Team and Executive Director (in General Counsel)</p> <p>Adjudication and Executive Directors</p>
38	To give any notices required for the purposes of Schedule 14 of the LSA 2007 in relation to exercising our powers of intervention of a licensed body (including, for the avoidance of doubt, paragraphs 1(4), 3(5), 8 and 10) and Schedule 1 of the SA 1974 (including, for the avoidance of doubt, paragraphs 6 and 9)	<p>Client Protection - Director, Technical Manager, Interventions and Statutory Trust Manager and Senior Advisers</p> <p>Investigation and Supervision – Director, Head of Investigations and Head of Forensic Investigations and Intelligence</p> <p>Legal staff - Director of Legal and Enforcement, Head of Legal and Enforcement, Head of Legal General Counsel Advice Team</p>
39	To disqualify an accountant from making any accountant's reports under the Accounts Rules	<p>Adjudication  Investigation and Supervision – Director, Head of Investigations and Head of Forensic Investigations and Intelligence</p>

## Adjudication

<b>No.</b>	<b>Decision</b>	<b>Job role/department</b>
40	To decide to intervene into a firm (including under section 35 and Schedule 1 of the SA 1974,	Adjudication panel unless the intervention



Schedule 2 of the AJA1985, section 102 and Schedule 14 to the LSA 2007 and any provision with similar effect)

1. is due to severe and imminent risk to the public; or
2. into the closed files and any residual money forming the remnants of a practice in which case provided the Chief Executive, an Executive Director or a Director decides that the decision can be made by a single adjudicator

To:

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| <ol style="list-style-type: none"> <li>1. Give a written rebuke</li> <li>2. Impose a fine falling within Band A, B, or C of our guidance on our approach to financial penalties</li> <li>3. Make a decision to publish (or not) a regulatory decision or to publish at later date</li> </ol>  | <p>Adjudication: decisions (1) to (7)</p> <p>All Authorisation staff: decision (3) relating to publication of conditions affecting a practising certificate, recognition, registration, or approval and decision (6) in so far as it relates to imposing interim conditions upon practising certificates under rule 3.2 of the SRA Regulatory and Disciplinary Procedure Rules</p> |
| <p>41</p> <ol style="list-style-type: none"> <li>4. Disqualify a person</li> <li>5. make an order under section 43(2) of the Solicitors Act 1974</li> <li>6. impose conditions, interim conditions or other controls upon practising certificates, registration or any other form of authorisation</li> <li>7. direct payment of costs</li> </ol> | <p>Adjudication panel</p>  |
| <p>42</p> <p>[To impose (other than via a regulatory settlement agreement) a financial penalty falling within Band D of the SRA's guidance on its approach to financial penalties]</p>  | <p>Adjudication panel</p>  |
| <p>43</p> <p>To end a disqualification or order made by the SRA in accordance with rule 7.2 SRA Regulatory and Disciplinary Procedure Rules</p>   | <p>Adjudication<br/>Authorisation – Director, Heads of Units and Technical Advisers</p>  |
| <p>44</p> <p>To appoint the membership of a panel of adjudicators sub</p>   | <p>Adjudication Support Officer<br/>Chief Adjudicator, or in the absence</p>   |





	committee and to designate the chair	of the Chief Adjudicator, a single Adjudicator
	[To impose a fixed financial penalty under rule 3.1(h) of the Regulatory and Disciplinary Procedure Rules, to direct	Investigation and Supervision – Director, Head of Investigations, Head of Forensic Investigations and Intelligence, Investigation Knowledge and Development Manager and Investigation Managers
45	payment of costs in respect of that matter, and/or to make a decision to publish (or not) that regulatory decision or to publish at a later date]	AML – Director and Head of AML Investigations Head of Thematic Team Legal and Enforcement - Director and Heads of Legal and Enforcement Authorisation – Director, Heads of Unit and Technical Advisers.

## Legal and enforcement

<b>No.</b>	<b>Decision</b>	<b>Job role/department</b>
	To authorise disciplinary proceedings and any other proceedings before the Solicitors Disciplinary Tribunal, and to authorise the addition of further allegations	
	To authorise, issue and defend any proceedings or proposed proceedings in a court or tribunal.	Adjudication and Executive Directors
46	The above includes the power to issue a restriction notice for the purposes of Part 5 Schedule 13 of the Legal Services Act 2007 to place restrictions on shares within a restricted interest held by a licensed body and to make any application to the High Court under Part 5 of Schedule 13 of that Act or Schedule 14 of that Act and to give any associated notices.	Legal staff - Director of Legal and Enforcement, Head of Legal and Enforcement, Head of Risk and Compliance, Head of Legal - General Counsel Advice Team, Case Managers, Senior Legal Consultant, Senior Legal Advisers and Legal Advisers
	The power to decide whether to publish a decision, or refer to the Solicitors Disciplinary Tribunal.	
47	To authorise a statement of agreed facts, admissions and outcome	Legal staff - Director of Legal and Enforcement, Head of



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| 48                        | To authorise prosecution of offences under the SA 1974, the AJA 1985, the CLSA 1990, and the LSA 2007  | Legal and Enforcement, Head of Legal - General Counsel Advice Team and Executive Director (in General Counsel) Chief Adjudicator and Executive Directors<br>Legal staff - Director of Legal and Enforcement, Head of Legal and Enforcement and Head of Legal - General Counsel Advice Team<br>Adjudication and Executive Directors: decisions (1) to (3)<br>Investigation and Supervision - Director, Head of Investigations, Head of Forensic Investigations and Intelligence, Investigation Knowledge and Development Manager and Investigation Managers: decisions (1) and (2) |
| To decide to give notice: |  |   |
| 49                        | <ol style="list-style-type: none"><li>1. pursuant to sections 44B of the SA 1974 to require a person or recognised body to provide information and documents and any equivalent notice, such as paragraph 14 of Schedule 2 to the Administration of Justice Act 1985 and to exercise the related powers pursuant to those provisions</li><li>2. pursuant to section 93 of the LSA 2007 requiring information to be provided by a licensed body, and to exercise the related powers pursuant to those provisions</li><li>3. under regulation 66 of the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017 to require information and documents to be provided.</li></ol> | Legal staff - Director of Legal and Enforcement, Head of Legal and Enforcement, Head of Risk and Compliance, Head of Legal - General Counsel Advice Team, Case Managers, Senior Legal Consultant, Senior Legal Advisers and Legal Advisers: decisions (1) to (3)<br>Authorisation - Technical Advisers: decisions (1) and (2)<br>Client Protection - Director, Technical Manager and Interventions and Statutory Trust Manager: decisions (1) and (2)<br>AML - Director, Head of AML Investigations and AML Investigation Manager: decisions (1) to (3)                           |
| 50                        | To give notice under section 44BA of SA 1974 (to require an explanation of information or any document provided by the person to whom notice is given) any equivalent  | Chief Adjudicator and Executive Directors<br>Legal staff - Director of Legal and Enforcement, Head of Legal and Enforcement and   |



notice for the purposes of paragraph 14 of Schedule 2 to the AJA 1985, and to exercise the related powers pursuant to those provisions

Head of Legal - General Counsel Advice Team  
Investigation and Supervision – Director, Head of Investigations, Head of Forensic Investigations and Intelligence, Investigation Knowledge and Development Manager and Investigation Managers in relation to a notice under section 44BA and equivalent notices

To authorise an application to court under section 44BB of SA 1974 or section 94 of LSA 2007, and to exercise the related powers pursuant to those provisions

Client Protection – Director, Technical Manager and Interventions and Statutory Trust Manager

To authorise a regulatory settlement agreement including (but not limited) to the following:

- give a written rebuke
- direct payment of a penalty up to and including £25,000
- make a decision to publish (or not) a regulatory decision
- disqualify a person
- bring a disqualification to an end
- make an order under section 43(2) of the SA 1974
- 51 • make an order under section 99 of the LSA 2007
- impose conditions, interim conditions or other controls upon practising certificates, registration or any other form of authorisation
- issue advice or a warning
- make an application to the SDT
- suspend, or extend the extension of, a practising certificate under section 13B of the SA 1974
- direct payment of costs

Adjudication and Executive Directors  
Director of Legal and Enforcement  
Heads of Legal  
Director of Investigation and Supervision  
Director of AML  
Any two of: Technical Advisers in Authorisation, Director of Authorisation, Heads of Unit (in Authorisation); Head of Investigation and Investigation Managers

- 52 To authorise a regulatory settlement agreement including a financial penalty in excess of £25,000

Executive Directors  
Director of Legal and Enforcement



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|----|--|---|
| 53 | To decide upon applications for waivers of requirements of the SRA Standards and Regulations   | Director of Investigation and Supervision<br>Director of AML<br>Any two Heads of Legal and Enforcement or Heads of Investigation and Supervision<br>Adjudication<br>Directors<br>Ethics Guidance - Head of Ethics Guidance and Team Managers<br>Authorisation - Director, Heads of Unit, Technical Advisers, Team Leaders, Senior Authorisation Officers and Authorisation Officers Level 2 and Level 3<br>Education and Training - Director, Head of and Policy Managers |
| 54 | To deal with applications for authority to withdraw money from client account  | Adjudication<br>Directors<br>Ethics Guidance - Head of Ethics Guidance, Team Managers and Ethics Advisers   |
| 55 | To approve foreign legal professions for the purposes of section 89 of the CLSA 1990 (A register of foreign lawyers, maintained by The Law Society).   | Executive Directors   |
| 56 | To exercise all powers and make all decisions (excluding waivers and the setting of fees) relating to course providers offering the academic and vocational stages of training under the SRA Education, Training and Assessment Provider Regulations                                 | Adjudication<br>Education and Training - Director, Head of and Policy Managers  |
| 56 | To deal with all matters relating to assessment organisations and/or providers of post-qualification training under the SRA Authorisation of Individuals Regulations and the SRA Education Training and Assessment Provider Regulations (excluding waivers and the setting of fees). | Adjudication<br>Education and Training - Director, Head of and Policy Managers  |

57 To issue letters of advice or a warning regarding future conduct or behaviour under rule 2.4 of the SRA Regulatory and Disciplinary Procedure Rules (RDPR)

Adjudication, Directors and Heads  
Investigation and Supervision  
- Investigation Knowledge and Development Manager and Investigation Managers  
Legal staff - Case Managers, Senior Legal Consultant, Senior Legal Advisers and Legal Advisers