

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://media.sra.org.uk/sra/corporate-strategy/sra-enforcement-strategy/enforcement-practice/anti-money-laundering/) [<https://media.sra.org.uk/sra/corporate-strategy/sra-enforcement-strategy/enforcement-practice/anti-money-laundering/>] [Competence and standard of service](https://media.sra.org.uk/sra/strategy/sub-strategies/enforcement-practice/competence-standard-service/) [<https://media.sra.org.uk/sra/strategy/sub-strategies/enforcement-practice/competence-standard-service/>] [Criminal offences outside of practice](https://media.sra.org.uk/sra/strategy/sub-strategies/enforcement-practice/criminal-offences-outside-practice/) [<https://media.sra.org.uk/sra/strategy/sub-strategies/enforcement-practice/criminal-offences-outside-practice/>] [Driving with excess alcohol conviction](https://media.sra.org.uk/sra/strategy/sub-strategies/enforcement-practice/driving-excess-alcohol-convictions/) [<https://media.sra.org.uk/sra/strategy/sub-strategies/enforcement-practice/driving-excess-alcohol-convictions/>] [Use of social media and offensive communications](https://media.sra.org.uk/sra/strategy/sub-strategies/enforcement-practice/social-media-offensive-communications/) [<https://media.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://media.sra.org.uk/sra/strategy/sub-strategies/enforcement-practice/guide-application-principle-1/) [<https://media.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://media.sra.org.uk/solicitors/guidance/) [<https://media.sra.org.uk/solicitors/guidance/>].