Regulatory Obj		SRA References
(1) protecting and promoting the public interest	The delegated regulatory body has sufficient credibility, brand recognition and influence to support public confidence in:  • the justice system; • an effective legal system; • the regulatory system; • the rule of law. Its approach to regulation is aligned to these public interest outcomes.	<ul> <li>➢ Annex A Mapping 2023-26 Corporate Plan Priorities against regulatory objectives</li> <li>➢ Corporate Reports &amp; 2023-26 Corporate Strategy demonstrates reach and scale.</li> <li>SRA   About the SRA   Solicitors Regulation Authority</li> <li>SRA   Who we are and what we do   Solicitors Regulation Authority</li> <li>Transparency Rules - The aim of the transparency rules is to make sure the public have access to the information they need in order to make more informed decisions when potentially in need of legal support. Raising public awareness of what is available is a long- term process and the first step is to make sure firms are publishing the necessary information. Since 2018 we have provided a range of information on our website targeted not just at individual users of legal services, but also to third parties and consumer groups who play a key role in advising the public. We have been running an online advertising campaign promoting what the new rules mean for the public across both social media and Google. This campaign uses graphics, videos and animation to highlight what information law firms should now be providing online, as well as explaining how the public can use tools such as the SRA clickable logo and Solicitors Register to validate information about law firms and solicitors.</li> <li>This campaign has resulted in:         <ul> <li>Google adverts appearing more than 40 million times online</li> <li>Price transparency content appearing more than 5 million times in social media feeds</li> <li>More than 81,000 people engaging directly with our adverts or social media content (viewers commenting on, sharing our content or clicking through to more information)</li> </ul> </li> </ul>
(2) supporting the constitutional principle of the rule of law	The regulatory regime:  • ensures that no-one is above the law;  • establishes standards that align to the principles underpinning the rule of law:  > The law must be accessible (see access to justice objective below) and so far as possible, intelligible, clear and predictable;  > Questions of legal right and liability should ordinarily be resolved by application of the law and not the exercise of discretion;  > The laws of the land should apply equally to all, save to the extent that objective differences justify differentiation;  > Ministers and public officers at all levels must exercise the powers conferred on them in good faith, fairly, for the purpose for which the powers were conferred, without exceeding the limits of such powers and not unreasonably;  > The law must afford adequate protection of fundamental human rights;	<ul> <li>➢ Annex A Mapping 2023-26 Corporate Plan Priorities against regulatory objectives</li> <li>Standards</li> <li>➢ Regulatory Principles</li> <li>➢ Codes of Conduct for Individuals</li> <li>➢ Code of Conduct for firms</li> <li>SRA   SRA Standards and Regulations   Solicitors Regulation Authority</li> <li>Enforcement of Standards</li> <li>SRA   Investigation and enforcement   Solicitors Regulation Authority</li> </ul>

(3) improving	<ul> <li>Means must be provided for resolving bona fide civil disputes which the parties themselves are unable to resolve;</li> <li>Adjudicative procedures provided by the state should be fair;</li> <li>The rule of law requires compliance by the state with its obligations in international law as in national law.</li> </ul> The regulatory regime:	Annex A to 2023-2026 Corporate Strategy – Mapping against LSA 2007 Objectives. Relevant corporate
access to justice	<ul> <li>ensures that those who have a legal need are able to access assistance or other materials required to allow them to secure a fair outcome;</li> <li>ensures that any advice, representation or other resources that are provided are of an appropriate quality;</li> <li>takes into account public policy, including issues such as the administration, operation and funding of courts, tribunals and legal aid;</li> <li>considers "unmet legal need", which is where a consumer has a legal problem and cannot or does not access advice or resources that would assist them to exercise their rights</li> <li>to support improved access to justice.</li> </ul>	strategy deliverables:  We will deliver a number of pilots, resources and guidance targeted at helping small firms to adopt appropriate technology solutions that can help the public, including vulnerable consumers, to access legal services  We will be perceived as an authoritative, credible regulator providing leadership to the legal sector on key public interest areas and valued insights to help shape wider societal debate, particularly in areas relating to access to justice, ethical practice, climate change and the delivery of a diverse, inclusive and effective legal market.  We will use the insights from our operational and wider work to support and influence important public interest and social policy debates  We will publish policy statements setting out our position on access to justice, and on matters relating to Environmental, Social and Governance (ESG), including our view of the key regulatory issues and obligations for those that we regulate  Consumer-facing information & guidance:  SRA   For the public   Solicitors Regulation Authority  Legal Choices: Your legal choices   Legal Choices   Lwant to know my rights   Legal Choices   Lwant to know my rights   Legal Choices   Lwant to know my rights   Legal Choices   SRA   Security   Solicitors   Solicitors   Solicitors   Segulation Authority   SRA   Improving access - tackling unmet legal needs   Solicitors Regulation Authority
(4) protecting and promoting the	The regulatory regime supports consumers to: • access the goods and services they need or want; • have a choice of services;	Annex A to 2023-26 Corporate Strategy – Mapping against LSA 2007 Objectives.  Consumer information & guidance:  SRA   For the public   Solicitors Regulation Authority



# interests of consumers (5) promoting competition in the provision of

# • be confident the goods or services are of an adequate quality:

- access information that is readily available, accurate and useful;
- be protected against unfair discrimination;
- have a say in how goods or services are provided;
- if things go wrong, access a system of redress for putting them right.

Legal Choices: Your legal choices | Legal Choices

I want to know my rights | Legal Choices

Platform designed to support consumers to:

- understand the law & their rights
- access information about legal providers & professionals
- understand the choice of provider available

# Assurance of Quality

SRA | Look out for our logo | Solicitors Regulation Authority

SRA | Index of SRA Standards and Regulations | Solicitors Regulation Authority

# Consumer redress

- Pages 6-8 Client Protection Section
- Compensation Fund Purpose Statement
- Compensation Fund Annual Financial Statements

SRA | Compensation Fund | Solicitors Regulation Authority

# services

The regulatory regime:

- Supports a competitive legal services market that:
  - > can respond to commercial pressures and opportunities, confident that regulation will only restrict them where it is necessary and consistent with the regulatory objectives and better regulation principles;
- > encourages legal service providers to respond to consumer demand by providing new and innovative services:
- reates pressure to deliver value for money.
- Recognises the distinct nature and role of CILEX lawyers who qualify and are authorised as specialists in the delivery of legal services.

SRA | SRA response - Ministry of Justice's consultation on 'Legal services: removing barriers to competition' | Solicitors Regulation Authority

SRA | Risk Outlook paper: Innovation in a competitive landscape | Solicitors Regulation Authority

Annex A to 2023-26 Corporate Strategy – Mapping against LSA 2007 Objectives.

Relevant 2023-26 Corporate Strategy priorities:

- Our enhanced SRA Innovate service will lead to legal services being offered to consumers in new ways through supporting the responsible adoption of legal technology and other innovation.
- A greater proportion of small firms in England and Wales will have made changes to how they work and the services they offer through innovation or investing in new technology, leading to inclusive and improved access to legal services for consumers.
- Innovators in legal technology will have better access to key regulatory data in order to develop products that help consumers access legal services.
- introduce a safe testing environment, bringing together law firms and technology partners to test and develop innovative or technology-based approaches to the delivery of legal services
- deliver a number of pilots, resources and guidance targeted at helping small firms to adopt appropriate technology solutions that can help the public, including vulnerable consumers, to access legal service
- continue our collaborative working with a variety of government, cross-regulator and international initiatives, to support the development of innovation and technology in legal services and to ensure we are fully engaged in and up to date with the latest developments.



(6) Encouraging an independent, strong, diverse and effective legal profession	<ul> <li>The regulatory regime:</li> <li>enables public confidence in those delivering legal services;</li> <li>supports a legal profession that:</li> <li>reflects (and is seen by society to reflect) the diversity of society;</li> <li>is drawn from the broadest possible range of talent;</li> <li>recognises and maintains the distinct identify of CILEX lawyers, CLEs and Paralegals and their value as specialist legal professionals;</li> <li>maintains a distinct route to qualification for CILEX members that supports access to legal education regardless of background.</li> </ul>	Annex to Corporate Strategy — Mapping against LSA 2007 Objectives  Statement on Diversity  Annual Diversity Monitoring Report & Analysis  SRA   Encouraging equality, diversity and inclusion   Solicitors Regulation Authority  Regulatory Principle 6:  "You must act in a way that encourages equality, diversity and inclusion."  Case for Change response Page 2 'Communications, Website & Branding Section:  "maintain and promote the distinct identity of CILEX Lawyers and the CILEX route into the profession."  and  "To publish the Authorised CILEX Lawyers Register and will explore with CILEX the scope to present it to consumers and the public alongside the Solicitors Register in a way that supports improved consumer understanding and choice with the ability to easily identify and compare both Solicitors and CILEX Lawyers authorised to provide legal services."  SRA   Law firm diversity data tool   Solicitors Regulation Authority  Regulatory Guidance:  Workplace environment: risks of failing to protect and support colleagues  SRA   Guidance   Solicitors Regulation Authority
(7) Increasing public understanding of the citizen's legal rights and duties	<ul> <li>The regulatory regime:</li> <li>supports members of the public to understand when they have a legal need and what options they have for addressing this;</li> <li>helps to empower consumers so that they find it easier and less daunting to deal with their legal problems.</li> </ul>	Annex to Corporate Strategy – Mapping against LSA 2007 Objectives  Consumer facing information on SRA website:  SRA   For the public   Solicitors Regulation Authority  Legal Choices: Your legal choices   Legal Choices   want to know my rights   Legal Choices
(8) Promoting and maintaining adherence (by authorised persons) to the	The regulatory regime aligns to and supports regulated persons to comply with the professional principles as set out in s.1(3) of the Act:  a. that authorised persons should act with independence and integrity;  b. that authorised persons should maintain proper standards of work;	Annex to Corporate Strategy – Mapping against LSA 2007 Objectives  Submission Annex A – Mapping Principles & Code of Conduct  SRA   Assessment of Character and Suitability Rules   Solicitors Regulation Authority  SRA   Index of SRA Standards and Regulations   Solicitors Regulation Authority



professional	c.	that authorised persons should act in the best
principles		interests of their clients;
	d.	that persons who exercise before any court a right of
		audience, or conduct litigation in relation to
		proceedings in any court, by virtue of being authorised
		persons should comply with their duty to the court to
		act with independence in the interests of justice; and
	e.	that the affairs of clients should be kept confidential.



Case for Change Objectives		SRA References
Able to	The regulatory regime can:	Financial Independence
operate at	<ul> <li>support the delivery of effective regulation</li> </ul>	Page 9 Cost Section
sufficient	through PCF income without the need for	SRA   Solicitors Regulation Authority Limited Financial Statements Five Month Period To 31 October 2021   Solicitors
scale to	financial subsidy from the Approved Regulator.	Regulation Authority
deliver	The regulatory body can:	
efficient	operate a consumer redress scheme	SRA   Costs statement   Solicitors Regulation Authority
and	independently without reliance on financial	
effective regulation	support or guarantee from the Approved Regulator;	SRA   Investments and reserves   Solicitors Regulation Authority
at a cost	<ul> <li>invest the necessary time and activity in the</li> </ul>	> 2023-2024 Draft Business Plan
that is	significant amount of market engagement	Corporate Strategy 2023-2026
affordable	required to establish confidence and assurance	
for the	in the minds of consumers of legal services –	Page 8 (Anti Money Laundering) references ability to respond to recent additional requirements in respect of AML.
consumers	both individuals and corporate.	
and the		<u>Consumer Redress</u>
profession.		Pages 6-8 Client Protection Section
		<ul> <li>Compensation Fund Purpose Statement</li> </ul>
		Compensation Fund Annual Financial Statements
		Ability to Invest time & activity in market engagement
		2023-2024 Draft Business Plan
		Corporate Strategy key deliverables 2023/26:
		• Develop and deliver a research, horizon scanning and insight programme, including a data collection, storage and analysis strategy, that focuses on generating the best possible insights to support better regulation
		Deliver a robust programme of thematic reviews on relevant subjects, supported by a clear rationale around selection and prioritisation of projects, and demonstrating an impact on areas of risk or challenge for the sector
		• Provide enhanced analysis of data about concerns raised with us, supporting proactive monitoring in areas that we identify as being of higher compliance risk. This includes areas in which consumers are less likely to make reports to us
		•Use the insights from our operational and wider work to support and influence important public interest and social policy debates
		SRA   For the public   Solicitors Regulation Authority
		SRA   What is a legal issue   Solicitors Regulation Authority
		SRA   Choosing a solicitor   Solicitors Regulation Authority



Able to
establish
and
maintain
consumer
confidence
that lawyers
enter the
profession
through
robust
processes
and
maintain the
standards
expected of
them by the
regulator
and the
public once
in practice.

# The regulatory regime can:

- through its systems and processes provide assurance to consumers of the standards required to qualify and practise as a lawyer;
- through the information published on its
   'Register of Authorised Persons' increase public
   awareness and understanding as to the
   comparable competence, conduct and scope of
   authorised practice of those holding a
   practising certificate regardless of route to
   qualification or title;
- establish consistent standards of continuing professional development required to maintain a practising certificate based on authorised status and scope of practice;
- apply a fair, transparent and consistent approach to the investigation of complaints and enforcement action across all those within regulatory scope.

# **Assurance of Standards**

- Page 2 Communications, website & branding
- Page 2-4 Regulatory Standards
- Page 5-6 Authorisation & Licensing
- Page 4-5 Education

SRA | SRA Standards and Regulations | Solicitors Regulation Authority

# **Register of Authorised Persons**

- Page 2 Communication, Website, Branding bullet 5.
- Page 5 Authorisation & Licensing
   SRA | Solicitors Register | Solicitors Regulation Authority

# **Continuing Professional Development**

- Page 5 6 Authorisation & Licensing
- ➤ Page 5 Education & Training reference to Continuing Competence Action Plan
- Code of Conduct point 3.3 "You must maintain your competence to carry out your role and keep your knowledge and skills up to date."
- Steps to Continuing Competence Infographic & Video www.sra.org.uk/continuing-competence

# Approach to Investigation & Enforcement

- ➤ Page 6 Investigation & Enforcement
- ➤ Annex A Comparison of CILEX Code of Conduct & SRA Principles
- Guidance & Resources:

SRA | Investigation and enforcement | Solicitors Regulation Authority
SRA | SRA Standards and Regulations | Solicitors Regulation Authority

# Able to establish public confidence of a consistency of approach that each and every regulated activity

every

# The regulatory regime meets the 'Good Regulation Principle' of 'consistent' by:

- applying the same standards of behaviour and practice to all practitioners granted a practising certificate of equal scope regardless of route to qualification or title;
- making clear to consumers the scope of authorisation and practice granted to each regulated person;
- providing a consumer redress scheme that standardises the compensation and insurance cover available regardless of title;

# Consistent Standards & Scope of Authorisation

- ➤ Page 2-4 Regulatory Standards
- ▶ Page 5 6 Authorisation & Licensing
- > SRA Principles

### Legal Choices | Legal Choices

SRA | Comparison sites | Solicitors Regulation Authority

### Consumer Redress Scheme

Page 6-8 Client Protection

SRA | Compensation Fund | Solicitors Regulation Authority

# **Entity Authorisation**



provider (entity and individual) in the market is required to operate to the same high standards.

- operating an entity authorisation scheme that applies the same standards and client protection arrangements to businesses offering the same services regardless of business structure or type of lawyer delivering services;
- utilising the same investigation and enforcement processes, criteria and sanctions to all authorised persons of equal standing regardless of title.

Page 3-4 Firms

- Page 6-8 Client Protection
- Guidance & Resources

SRA | Firm-based authorisation | Solicitors Regulation Authority

SRA | Solicitors Register | Solicitors Regulation Authority

SRA | Look out for our logo | Solicitors Regulation Authority

### Investigation & Enforcement

- Page 6 Investigation & Enforcement
- Page 2 -3 Regulatory Standards Individuals
- ➤ Annex A Comparison of CILEX Code of Conduct & SRA Principles
- Guidance & Resources:

SRA | Investigation and enforcement | Solicitors Regulation Authority

SRA | SRA Standards and Regulations | Solicitors Regulation Authority

Able to equal

support the

treatment and recognition of legal professionals regardless of route to qualification and provide equality of opportunity for individual

practitioners

and entities.

The regulatory regime supports:

- publication of a register of authorised practitioners which
  - raises awareness as to the choice of legal professional available
  - > supports consumers and legal provider organisations to understand the scope of practice and reserved legal activities each holder of a practising certificate is authorised to deliver
  - > provides transparency as to equivalence and differences between lawyers of different titles
  - does not differentiate or discriminate based on route to qualification or background.

The regulatory body is able to:

> challenge and influence those bodies employing, accrediting or contracting legal professionals and entities or supplying services to them to ensure they do not differentiate in the treatment of lawyers of equal authorised person status.

Proposal P2 'Communications, Website & Branding Section:

"To publish .... the Authorised CILEX Lawyers Register and will explore with CILEX the scope to present it to consumers and the public alongside the Solicitors Register in a way that supports improved consumer understanding and choice with the ability to easily identify and compare both Solicitors and CILEX Lawyers authorised to provide legal services."

# Supporting Evidence:

- Statement on Diversity
- Legal Choices
- Annual Diversity Monitoring Report & Analysis

SRA | Encouraging equality, diversity and inclusion | Solicitors Regulation Authority

SRA | Law firm diversity data tool | Solicitors Regulation Authority

# Regulatory Guidance:

Workplace environment: risks of failing to protect and support colleagues

SRA | Guidance | Solicitors Regulation Authority

Regulatory Principle 6: "You must act in a way that encourages equality, diversity and inclusion."

Code of Conduct for Firms Standards: 1: Maintaining trust and acting fairly

- 1.1) You do not unfairly discriminate by allowing your personal views to affect your professional relationships and the way in which you provide your services.
- 1.5) You monitor, report and publish workforce diversity data, as prescribed.
- 1.6) You treat those who work for and with you fairly and with respect, and do not bully or harass them or discriminate unfairly against them. You require your employees to meet this standard
- SRA | SRA enforcement strategy | Solicitors Regulation Authority



Charter & Governance Requirements	SRA References
CILEX retains the role of Approved Regulator with delegation of regulatory	Proposal:
functions in accordance with CILEX Charter, Bye-Laws and Scheme of	Pages 1-2 – Introduction Para 1 & Governance Sections
Delegation	Pages 4-5 – Education & Training Sections
	Pages 5-6 – Authorisation section
The governance framework satisfies the requirement to provide assurance to CILEX as the Approved Regulator under Section 28 of the Legal Services	Governance Handbook
Act	SRA   SRA transparency code   Solicitors Regulation Authority
	SRA   Accountability statement   Solicitors Regulation Authority
	SRA   Welcome to our suite of corporate reporting for the 2020/21 year   Solicitors Regulation Authority
Model of delegated regulation enables compliance with LSB requirements,	➤ Pages 1-2 Governance Section
specifically but not limited to:	➤ Index of SRA Standards & Regulations
Internal Governance Rules & associated guidance	➤ LSB Performance Review
Practising Certificate Rules & Statutory Guidance	
Regulatory Performance Standards	
Dispute Determinations	
Rules for Designations and Alternations to Regulatory	
Arrangements	

