



## SRA Update

Issue 115 - May 2023

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Welcome to SRA Update. This edition features opportunities to get involved and feedback on our work - from hearing your views on a cap restricting fees in financial mis-selling to how our Standards and Regulations reforms have bedded in.

We have an interactive session you can join on our proposed new strategy, alongside videos sharing best practice for those who work in the youth court and creating a supportive culture for women experiencing the menopause.

Despite the big shift we have seen to online events, we still find it really valuable to meet in person. If you are in the Bristol or London area, we would love you to join us for a couple of different events - one on innovation and another offering an opportunity to talk to our senior team.

Finally, since our last edition, thousands of solicitors without a practising certificate have applied to remain on the roll. You have until 28 May to apply.

### **Solicitors without practising certificates can now apply to remain on the roll**

[\[https://qltt.sra.org.uk/mysra/roll/faqs/\]](https://qltt.sra.org.uk/mysra/roll/faqs/)

As part of a new annual exercise, solicitors without a practising certificate have until 28 May 2023 to apply if they wish to remain on the roll of solicitors. This is done through mySRA and you will need to pay a £20 administration fee to complete your application.

[Read more about: Solicitors without practising certificates can now apply to remain on the roll](https://qltt.sra.org.uk/mysra/roll/faqs/) [\[https://qltt.sra.org.uk/mysra/roll/faqs/\]](https://qltt.sra.org.uk/mysra/roll/faqs/)

### **Have your say on restricting fees in financial mis-selling**

[\[https://qltt.sra.org.uk/news/news/press/2023-press-releases/fee-restrictions-consultation/\]](https://qltt.sra.org.uk/news/news/press/2023-press-releases/fee-restrictions-consultation/)

We are consulting on specific rules to restrict fees for work in compensation claims for mis-sold financial products. We want to find the



right balance that keeps this a viable service for law firms to offer, while making sure consumers get value for money. If you work in this area, please make sure you have your say.

[Read more about: Have your say on restricting fees in financial mis-selling](https://qltt.sra.org.uk/news/news/press/2023-press-releases/fee-restrictions-consultation/) [<https://qltt.sra.org.uk/news/news/press/2023-press-releases/fee-restrictions-consultation/>]

## **Get practical tips on innovation at our Bristol and London events**

[<https://www.eventsforce.net/sra/639/home>]

Are you interested in learning more about the opportunities associated with innovation and technology in the legal sector? Why not sign up to our SRA Innovate 2023 events in Bristol (20 June) or London (5 July)? These will provide you with an invaluable opportunity to get practical tips and discuss key issues with a range of expert law firms, tech specialists, consumer groups and more.

[Read more about: Get practical tips on innovation at our Bristol and London events](https://www.eventsforce.net/sra/639/home) [<https://www.eventsforce.net/sra/639/home>]

## **Latest issue of Lawtech Insight out now**

[<https://publications.sra.org.uk/lawtech-insight/>]

Read the latest issue of Lawtech Insight which covers the latest news and opinions on technology and innovation in the legal sector and beyond. Find out how the techpreneurs who made it to the Legal Access Challenge's final stages have fared three years on. How are they making legal services more accessible and affordable?

[Read more about: Latest issue of Lawtech Insight out now](https://publications.sra.org.uk/lawtech-insight/) [<https://publications.sra.org.uk/lawtech-insight/>]

## **Meet the SRA senior team in Bristol or London**

[<https://www.eventsforce.net/sra/641/home>]

Join us for an informal roundtable and networking event where you can hear from, and put your questions to, members of our team. Taking place in Bristol (20 June) and London (5 July), the early evening events will give you the chance to speak directly to the SRA about the issues that impact you on a day-to-day basis.

[Read more about: Meet the SRA senior team in Bristol or London](https://www.eventsforce.net/sra/641/home) [<https://www.eventsforce.net/sra/641/home>]



## **Join our live webinar on our new Corporate Strategy** [<https://events.sra.org.uk/sra/642/home>]

We will shortly launch our new Corporate Strategy for 2023-26. This will outline our proposed strategic objectives and areas of focus for the next three years. To support this, we are running a webinar on 25 May where you can learn more and put your questions to us in a live Q&A session.

[Read more about: Join our live webinar on our new Corporate Strategy](https://events.sra.org.uk/sra/642/home)  
[<https://events.sra.org.uk/sra/642/home>]

## **Get ready to submit your diversity information this summer**

[<https://qltt.sra.org.uk/solicitors/resources-archived/diversity-toolkit/your-data/#5486>]

This summer we will once again be asking all firms to submit their diversity information. To help your firm get ready to complete this regulatory requirement, we have published a copy of the questions you will be asked. We would encourage all firms to look at these now, so you can start gathering the information you will need from your staff.

[Read more about: Get ready to submit your diversity information this summer](https://qltt.sra.org.uk/solicitors/resources-archived/diversity-toolkit/your-data/#5486)  
[<https://qltt.sra.org.uk/solicitors/resources-archived/diversity-toolkit/your-data/#5486>]

## **Have your say on our Standards and Regulations** [<https://form.sra.org.uk/s3/Survey-of-Solicitors-Standards-and-Regulations>]

It is now three years since we introduced our new Standards and Regulations. We'd like your feedback as part of a project to assess what impact the changes have had on the profession and the public.

[Read more about: Have your say on our Standards and Regulations](https://form.sra.org.uk/s3/Survey-of-Solicitors-Standards-and-Regulations)  
[<https://form.sra.org.uk/s3/Survey-of-Solicitors-Standards-and-Regulations>]

## **Video - Menopause, creating a supportive firm culture** [<https://qltt.sra.org.uk/news/events/on-demand-events/menopause-supportive-firm-culture/>]

Learn about steps your firm can take to support women who experience the menopause to overcome barriers to retention and progression. Watch our free webinar with speakers from City firms, support groups and the Law Society discussing best practice.



[Read more about: Video – Menopause, creating a supportive firm culture](https://qltt.sra.org.uk/news/events/on-demand-events/menopause-supportive-firm-culture/)  
[https://qltt.sra.org.uk/news/events/on-demand-events/menopause-supportive-firm-culture/]

## **Video – SQE and mitigating circumstances** [https://qltt.sra.org.uk/news/events/on-demand-events/sqe-mitigating-circumstances/]

Our free webinar provides information for candidates whose SQE assessments have been negatively impacted by circumstances beyond their control. We can take such mitigating or extenuating circumstances into consideration. Watch our webinar to hear about the process.

[Read more about: Video – SQE and mitigating circumstances](https://qltt.sra.org.uk/news/events/on-demand-events/sqe-mitigating-circumstances/)  
[https://qltt.sra.org.uk/news/events/on-demand-events/sqe-mitigating-circumstances/]

## **Video – Practising in the youth courts** [https://qltt.sra.org.uk/news/events/on-demand-events/practising-youth-courts/]

Speakers from the Magistrates Association and youth justice experts discuss best practice when working in youth settings. This webinar accompanies the guidance we have published for those working in the youth courts.

[Read more about: Video – Practising in the youth courts](https://qltt.sra.org.uk/news/events/on-demand-events/practising-youth-courts/)  
[https://qltt.sra.org.uk/news/events/on-demand-events/practising-youth-courts/]

## **Find out more about Legal Ombudsman scheme rules changes** [https://qltt.sra.org.uk/news/news/sra-update-114-leo-rule-changes/]

We have previously told you about the Legal Ombudsman (LeO) consulting on changes to its scheme rules. The proposed amendments came into effect on 1 April. The Ombudsman has produced a range of resources about what's changed and how it might affect you.

[Read more about: Find out more about Legal Ombudsman scheme rules changes](https://qltt.sra.org.uk/news/news/sra-update-114-leo-rule-changes/) [https://qltt.sra.org.uk/news/news/sra-update-114-leo-rule-changes/]

## **Your health, your career** [https://qltt.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://qltt.sra.org.uk/solicitors/resources-archived/your-health-your-career/)

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

Welcome to the Compliance News section of SRA Update.

The legal sector can be a demanding environment in which to work. While it is up to firms how they run their individual businesses, it does become a regulatory issue if poor working cultures start to impact staff wellbeing, behaviour and ultimately standards of service to the public. In this edition you can find out about guidance we have published on our new rules in this area.

The invasion of Ukraine has put the spotlight on financial sanctions. The sanctions regime applies to all firms – we have produced a video to help you comply, while you may be one of the firms we have contacted for further information in this area. If so, you have until 31 May to complete your return.

Finally, you can find out about our updated approach to fines and publishing decisions.

**[New rules on health and wellbeing in the workplace](https://qltt.sra.org.uk/news/news/press/2023-press-releases/guidance-wellbeing/)** [\[https://qltt.sra.org.uk/news/news/press/2023-press-releases/guidance-wellbeing/\]](https://qltt.sra.org.uk/news/news/press/2023-press-releases/guidance-wellbeing/)

Read updated guidance on our new rules on health and wellbeing in the workplace, introduced in April, and what they mean for law firms and those who work in them.

[Read more about: New rules on health and wellbeing in the workplace](https://qltt.sra.org.uk/news/news/press/2023-press-releases/guidance-wellbeing/)

[\[https://qltt.sra.org.uk/news/news/press/2023-press-releases/guidance-wellbeing/\]](https://qltt.sra.org.uk/news/news/press/2023-press-releases/guidance-wellbeing/)

**[Submit your response on financial sanctions risk by 31 May](https://qltt.sra.org.uk/news/news/financial-sanctions-questions/)**

[\[https://qltt.sra.org.uk/news/news/financial-sanctions-questions/\]](https://qltt.sra.org.uk/news/news/financial-sanctions-questions/)

If we have sent you an email asking you to provide information on how your firm manages risk relating to clients potentially being subject to financial sanctions, you have until 31 May to complete your return. We have sent emails to all firms not in scope of the money laundering regulations.



[Read more about: Submit your response on financial sanctions risk by 31 May](https://qltt.sra.org.uk/news/news/financial-sanctions-questions/) [<https://qltt.sra.org.uk/news/news/financial-sanctions-questions/>]

## **Video - watch our webinar on complying with the sanctions regime**

[<https://qltt.sra.org.uk/news/events/on-demand-events/government-sanctions-regime-stay-compliant/>]

The Government's sanctions regime applies to all firms, not just those captured by the money-laundering regulations. Find out how you can meet your obligations and stop those associated with hostile countries from getting around bans on them obtaining legal services by watching our free webinar.

[Read more about: Video - watch our webinar on complying with the sanctions regime](https://qltt.sra.org.uk/news/events/on-demand-events/government-sanctions-regime-stay-compliant/) [<https://qltt.sra.org.uk/news/events/on-demand-events/government-sanctions-regime-stay-compliant/>]

## **Fixed penalties to come in this summer**

[<https://qltt.sra.org.uk/news/news/press/2023-press-releases/financial-penalties-publication-policy/>]

Subject to approval by the Legal Services Board, our new approach to issuing financial penalties will come into effect over the coming months. This includes new fixed penalties to firms for lower level/administrative breaches, such as failure to comply with a regulatory request or our transparency rules.

[Read more about: Fixed penalties to come in this summer](https://qltt.sra.org.uk/news/news/press/2023-press-releases/financial-penalties-publication-policy/) [<https://qltt.sra.org.uk/news/news/press/2023-press-releases/financial-penalties-publication-policy/>]

## **Subscription**

### **If you are regulated by the SRA**

As a regulated individual, please **simply ensure that the SRA has your current contact email address on record.**

To ensure we have your current email address, log in to [mySRA](https://qltt.sra.org.uk/mySRA) [<https://qltt.sra.org.uk/mySRA>] and check your profile.

No subscription request is required.

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## **Editorial comment**

Please send editorial comment to [SRAupdate@sra.org.uk](mailto:SRAupdate@sra.org.uk) [\[mailto:sraupdate@sra.org.uk\]](mailto:SRAupdate@sra.org.uk).