

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