**SRA Standards and Regulations 2019**

This element explores three components of the SRA Standards and Regulations 2019: the SRA Principles, CCS and CCF.

**Whether you work in a big or small firm, in-house or want to work outside a regulated law firm, all solicitors must follow certain rules and meet high ethical standards’**

**SRA.**

This element will provide an overview of how three key parts of the Solicitors Regulation Authority's ('SRA') regulations interact.

**SRA Standards and Regulations 2019**

The SRA sets out the ethical and professional standards it expects from solicitors, law firms, people that work in those law firms and other legal businesses in the SRA Standards and Regulations 2019 (‘SRA Standards and Regulations’). The SRA Standards and Regulations comprise a number of documents. Key documents include:

SRA Principles (‘Principles’)

Code of Conduct for Solicitors, Registered European Lawyers and Registered Foreign Lawyers (‘CCS’)

Code of Conduct for Firms (‘CCF’)

SRA Accounts Rules

The SRA Accounts Rules regulate how law firms hold and manage clients' money.

**References in the SRA Principles and the Codes**

We refer to individual Principles as Principle 1, Principle 2 etc.

We use the term ‘Codes’ to refer to CCS and CCF.

We refer to paragraphs of the Codes in the following shorthand format:

‘CCS 2.1’ refers to paragraph 2.1 of CCS, and

‘CCF 3.1’ refers to paragraph 3.1 of CCF.

**Principles**

The Principles are the key points of ethical behaviour that the SRA expect all people they regulate to uphold.

They apply to all individuals who are authorised to provide services by the SRA, authorised firms, businesses, their managers and employees.

There are **seven** Principles.

**The seven Principles**

The Principles require individuals and firms to act:

in a way that upholds the constitutional principle of the rule of law and the proper administration of justice

in a way that upholds public trust and confidence in the solicitors’ profession and in legal services provided by authorised persons

with independence

with honesty

with integrity

in a way that encourages equality, diversity and inclusion

in the best interests of each client

**The Principles**

The Principles relate to a lawyer’s relationship with their **client** and also the court, other professionals and the **public**.

Should the Principles come into conflict, **the principles which safeguard the wider public interest** (for example the rule of law) **take priority over the interest of an individual client**.

The Principles apply to legal professionals in their **personal** as well as their professional lives.

**Code of Conduct for Solicitors, Registered European Lawyers and Registered Foreign Lawyers (‘CCS’)**

**CCS sets out the standards that the SRA and the public expect from individuals authorised by the SRA to provide legal services, including solicitors, paralegals and apprentices.**

CCS is a brief document, approximately eight pages long. It sets out a framework.

You as a legal professional must exercise your judgment in applying the standards to your situation and deciding on a course of action.

You are **personally responsible** for compliance with CCS.

CCS 7.3 requires you to cooperate with the SRA and other regulators when they investigate concerns relating to legal services.

**Code of Conduct for Firms (‘CCF’).**

**CCF sets out the standards and business controls the SRA expects of firms.**

CCF contains all the standards set out in CCS plus additional standards about the way firms run their businesses, including rules relating to:

• the systems and controls firms must have in place to comply with the SRA’s rules

• the responsibilities of managers of a firm

• the requirement to have a Compliance Office for Legal Practice (‘COLP’) and a Compliance Officer for Finance and Administration (‘COFA’).

**Summary**

• The SRA Standards and Regulations 2019 sets out the standards the SRA expects from individuals and businesses it regulates. The Standards and Regulations comprise a number of documents.

• The Principles: there are 7 Principles which are the key behaviours the SRA expect from individuals.

• CCS: is a framework document setting out the standards the SRA expects from individuals.

• CCF sets out the standards the SRA expects from firms and managers of firms.

• The SRA Accounts Rules set out rules on how law firms hold and manage clients’ money.