

# Annex one: What have we done with the rules in the existing Handbook?

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1. The table below outlines the rules included within phase two of our Handbook review, and whether we propose they be retained, removed or combined with other rules.

Title	Retain, remove or combine with other rules?
SRA Practice Framework Rules 2011	Retain elements in each of the Individual and Firm Authorisation Regulations/Rules
SRA Practising Regulations 2011	Replace with Individual Authorisation Regulations (and some elements in Education, Training and Assessment Provider Regulations)
SRA Admission Regulations 2011	
SRA Higher Rights of Audience Regulations 2011	
SRA Quality Assurance Scheme for Advocates (Crime) Regulations 2013	
SRA Authorisation Rules 2011	Replace with Authorisation of Firms Rules
SRA Keeping of the Roll Regulations 2011	Retain but combine with other requirements in new Registers, Rolls and Information Regulations
SRA Training Regulations 2014 - Qualification and Provider Regulations	Combine some elements into Individual Authorisation Regulations, and some provisions retained to form new set of provider regulations
SRA Qualified Lawyers Transfer Scheme Regulations 2011	
SRA Suitability Test 2011	Retain a standalone document setting out rules for assessing character and suitability
SRA Indemnity Insurance Rules 2013	Retain (NB these rules are not included within phase two, but will be subject to separate consultation)
SRA Indemnity Enactment Rules 2012	
SRA Indemnity Rules 2012	
SRA Compensation Fund Rules 2011	
SRA Intervention Powers (Statutory Trust) Rules 2011	Retain
SRA Disciplinary Procedure Rules 2011	Combine
SRA Cost of Investigations Regulations 2011	
SRA Overseas Rules 2013	Combine
SRA European Cross-border Practice Rules 2011	
SRA Property Selling Rules 2011	Remove
SRA Financial Services (Scope) Rules 2001	Retain
SRA Financial Services (Conduct of Business) Rules 2001	Retain

2. The following table outlines the new proposed sets of rules:

<b>Rules</b>	<b>What do they say?</b>
SRA Principles	The ethical standards we expect of those we regulate
SRA Code of Conduct for Solicitors, RELs and RFLs	The professional standards and behaviours we expect of solicitors, RELs and RFLs in practice
SRA Code of Conduct for Firms	The responsibilities of authorised firms as regulated businesses
SRA Accounts Rules	How firms should keep their clients' money safe
SRA Education, Training and Assessment Provider Regulations	Our requirements for organisations providing education, training and delivering assessments to those seeking to be admitted as solicitors and beyond
SRA Assessment of Character and Suitability Rules	How we assess character and suitability of those seeking to join or be restored to the roll, to become authorised role holders, or register as RFLs or RELs
SRA Authorisation of Individuals Regulations	Our requirements for individuals seeking authorisation as a solicitor, registered European lawyer or registered foreign lawyer
SRA Authorisation of Firms Rules	Our requirements relating to the authorisation of entities as recognised bodies, licensed bodies and recognised sole practices
SRA Application, Notice, Review and Appeal Rules	How we deal with applications and notifications made to us and our approach to reviews and appeals in relation to decisions we have made
SRA Registers, Roll and Information Regulations	What information we are required to keep about individuals and entities we authorise and other new information requirements
SRA Regulatory and Disciplinary Procedure Rules	How we investigate and take disciplinary and regulatory action for breaches of our rules and regulatory requirements
SRA Overseas Rules and Cross-border Practice Rules	How we regulate those providing legal services outside England and Wales, and what we expect from those engaged in cross-border practice
SRA Statutory Trust Rules	What we do with money we take possession of following an intervention into a practice
SRA Financial Services (Scope) Rules	Outlines the scope of the regulated financial services activities that may be undertaken by firms authorised by us and not regulated by the FCA
SRA Financial Services (Conduct of Business) Rules	How firms may carry on the regulated activities outlined in the SRA Financial Services (Scope) Rules, and the way firms that are dually regulated by us and the FCA may conduct their non-mainstream regulated activities
SRA Glossary	Definitions of the terms used in our Handbook

