

Introduction to Discipline and Costs Recovery (Annex G)

This section of the Handbook contains the following rules:

- SRA Disciplinary Procedure Rules; and
- SRA Cost of Investigations Regulations.

These rules must be read in conjunction with the Principles. The Principles apply to all aspects of practice, including how you respond to any regulatory investigation or action.

The desired outcomes that apply to the disciplinary and costs recovery provisions are that:

- clients and the general public are confident that the SRA will take appropriate action to discipline firms that do not comply with the Principles, do not achieve the outcomes in the Code, or otherwise breach the SRA's regulatory requirements;
- firms and individuals are aware of the SRA's procedures for disciplining and fining them, and for recovering costs, and the circumstances in which such action will be taken;
- persons subject to disciplinary action by the SRA provide the SRA with all relevant information and comply with all reasonable requests of the SRA;
- the SRA is able to take appropriate disciplinary action where there has been a failure to comply with a regulated person's duties; and
- persons subject to disciplinary action by the SRA contribute to the cost of the disciplinary action.