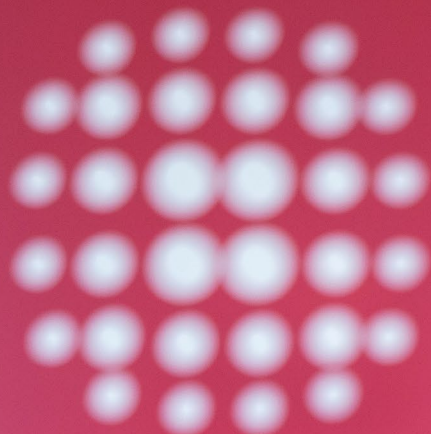


Solicitors
Regulation
Authority



Recruitment pack for the appointment of Director roles in Investigations



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Contents

Introduction	3
About us	4
How we work	5
The roles	6
Person specifications	8
Terms of appointment	10
How to apply	11
Equal opportunities	12
Eligibility criteria	13





Introduction

We are a public interest regulator, which means driving confidence and trust in legal services is core to everything we do.

A key area of our work is to investigate reports of professional misconduct.

Our investigations casework teams receive around 11,000 new reports each year, many of them sensitive, serious and increasingly complex.

The landscape is changing and the type of work our Investigators do has evolved over recent years. We continue to deal with matters around client money and dishonesty, but societal and global issues have also seen us dealing with new types of cases.

These range from looking at allegations of sexual harassment and misconduct in the wake of the #MeToo movement to potential abuses of power in the litigation process, which have come under the spotlight in the wake of the war in Ukraine. We are also committing significant resource to investigating the role of lawyers in the Post Office Horizon

scandal – one of the largest miscarriages of justice in our country's history.

High standards of casework, with a sharp focus on protecting the public, is integral to maintaining confidence and trust in legal services. We are therefore bolstering our Investigations function to make sure we uphold the high professional standards the public deserves.

We are looking to recruit additional leaders for the following roles:

- Director of Investigations
- Director of Specialist and Proactive Investigations
- Head of Investigations
- Head of Investigations – Interventions and High-Profile Cases
- Head of Investigations – Proactive and Intelligence

This recruitment pack concerns the Director of Investigations and Director of Specialist and Proactive Investigations roles.



About us

The SRA is the largest regulator of legal services in England and Wales, covering around 90 per cent of the regulated market. We oversee more than 200,000 solicitors and around 9,400 law firms.

Our purpose is to drive confidence and trust in legal services. We work to protect members of the public and support the rule of law and the administration of justice.

We are focused on the issues that can transform legal services, making sure the profession delivers the high standard of service that the public deserves.

These include:

- maintaining trust in the profession – by identifying and addressing new and emerging problems, including by holding solicitors to account when things go wrong
- encouraging innovation in the legal sector to drive a better service for consumers
- reviewing our approach to consumer protection in the face of changing risks in the sector.

You can read more about our work in [our Corporate Strategy 2023–2026](#).



How we work

We operate within a statutory framework provided by the Solicitors Act 1974, the Administration of Justice Act 1985 and the Legal Services Act 2007. We also operate within the framework provided by General Regulations (which set out the relationship between us and The Law Society) and by formal guidance in accordance with the rules and guidance provided by the oversight regulator, the Legal Services Board.

Together, the statutory framework provides that we must act in a way that is compatible with the need to:

- protect and promote the public interest
- support the constitutional principle of the rule of law
- improve access to justice
- protect and promote the interests of consumers
- promote competition in the provision of legal services
- encourage an independent, strong, diverse and effective legal profession
- increase public understanding of the citizen's legal rights and duties
- promote and maintain the professional principles
- promote the prevention and detection of economic crime
- make sure that best regulatory practice is adopted.



The roles

Director of Investigations

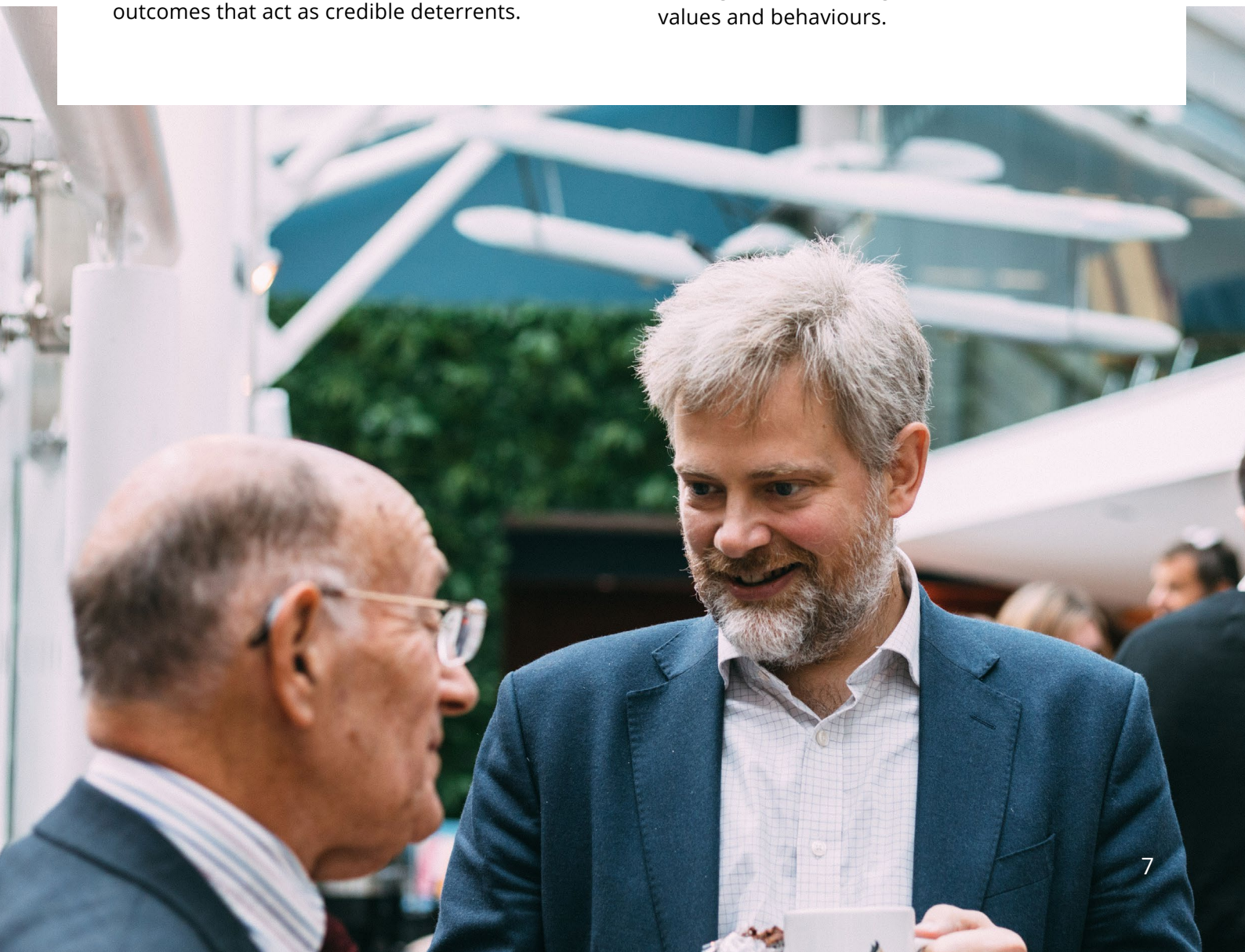
The Director of Investigations will lead teams of approximately 150 staff. Key responsibilities include:

- Make sure that the accuracy and quality of casework within the Directorate is delivered to the highest standards, providing effective direction in relation to a large volume of disciplinary cases.
- Ensure disciplinary action is proportionate, fair and consistent, in line with good investigative practice and our enforcement strategy and with outcomes that act as a credible deterrent.
- Lead and develop our Knowledge and Development and Complaints teams to provide a strong learning and continuous improvement environment.
- Management of budgets and resource to ensure delivery of a well-controlled operational environment.
- Deliver continuous improvement of operational processes, talent recruitment and development and customer service excellence to achieve best-in-class regulatory and operational processes and outcomes.
- Ensure effective understanding of risk identified and arising from our casework is shared across the Investigation and Enforcement directorates and the organisation more widely, contributing to our understanding of the legal landscape.
- Build good relationships with a diverse set of stakeholders (internal and external) to support the delivery of our corporate objectives, provide inspirational leadership and effective engagement in both the Directorate and across the organisation, acting as a role model for our values and behaviours.

Director of Specialist and Proactive Investigations

The Director of Specialist and Proactive Investigations will lead teams of approximately 100 staff. Key responsibilities include:

- Ensure high-quality case working and decision-making across our specialist Investigation teams, handling on-site inspections, interventions, and high-profile and complex disciplinary cases.
- Provide effective technical case direction and decision-making in relation to complex or high-profile cases, working closely with the Director of Legal and Enforcement.
- Ensure strong intelligence handling and sharing by the Intelligence team.
- Make sure disciplinary action is proportionate, fair and consistent, in line with good investigative practice and our enforcement strategy and with outcomes that act as credible deterrents.
- Management of budgets and resource to ensure delivery of a well-controlled operational environment.
- Build and lead a robust proactive team to enhance and develop our approach to horizon scanning, identification of regulatory risk and tactical response.
- Ensure robust operational risk monitoring framework and governance to identify risks, direct appropriate regulatory responses and protect consumers.
- Build good relationships with a diverse set of stakeholders (internal and external) to support the delivery of our corporate objectives, provide inspirational leadership and effective engagement in both the Directorate and across the organisation, acting as a role model for our values and behaviours.





Person specifications

Director of Investigations

To be successful in this role you will be able to demonstrate your capability and potential against the following criteria.

Requirements:

- Demonstrable track record of successfully leading high-performing teams in high-volume regulatory or investigatory environments.
- Experience of successfully delivering continuous improvement with a focus on customer service across operational teams.
- Demonstrable understanding of managing resources within appropriate financial and operational controls.
- Strong leadership capability with a focus on managing operational risk.
- Proven ability to make good decisions which

are based upon sound judgment and analysis, are evidence-based and focused on the right outcomes that act as credible deterrents.

- Excellent analytical skills and experience of developing and using robust management information to drive performance.
- Good interpersonal and communication skills, with the ability to build and manage strong internal and external stakeholder relationships.
- Understanding of the principles of equality, diversity and inclusion and their application in the workplace and in public policy.

Although not essential, candidates who also bring an understanding of the wider law enforcement and regulatory landscape or a good understanding of the legal sector and how it operates are of particular interest.

Director of Specialist and Proactive Investigations

To be successful in this role you will be able to demonstrate your capability and potential against the following criteria.

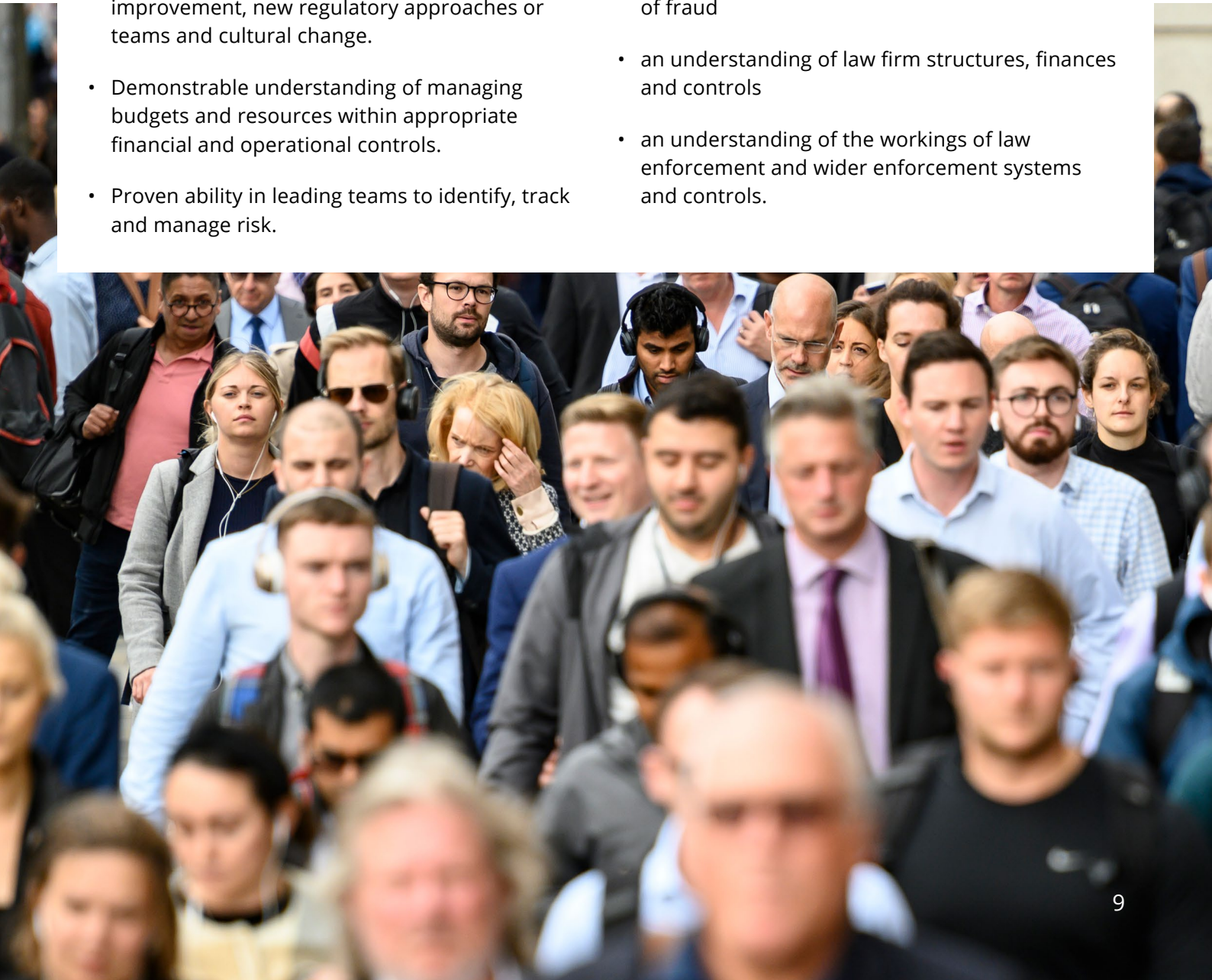
Requirements:

- Strong leadership skills and a demonstrable track record of successfully leading high-performing teams in complex, high-volume regulatory and operational environments.
- A strategic thinker able to make risk-based decisions quickly and based on analysis of evidence and sound judgment, with an understanding of the complexity of decision-making in a regulatory environment.
- Experience of successfully delivering continuous improvement, new regulatory approaches or teams and cultural change.
- Demonstrable understanding of managing budgets and resources within appropriate financial and operational controls.
- Proven ability in leading teams to identify, track and manage risk.

- Experience of presenting (orally and in writing) to senior stakeholders with a good understanding of the complexities of stakeholder management in decision-making at senior level in a high-profile and complex area.
- Understanding of the principles of equality, diversity and inclusion and their application in the workplace and in public policy.

Although not essential, candidates who can also offer any of the following attributes are of particular interest:

- a good understanding of the legal sector and wider regulatory landscape
- experience in the detection and prevention of fraud
- an understanding of law firm structures, finances and controls
- an understanding of the workings of law enforcement and wider enforcement systems and controls.





Terms of appointment

Location

We have adopted a hybrid working model with a blend of home working and office presence of two days a week for those in a leadership role.

The successful candidates will regularly be required to work in our main office in Birmingham (typically once a week), but otherwise may be based from our London or Cardiff office in accordance with business need.

Directors may also be required to travel to other locations in England and Wales as necessary.

Travel to any location other than the office which you are contractually based from will be expensed in line with company policy.

Salary and benefits

Appointees can expect a salary of circa £90k-100k dependent on experience. We offer a competitive and flexible benefits package. For more information, contact the employment adviser.

Contract

Both of these roles are permanent, full-time roles, however, flexible working arrangements would be considered. You should discuss your requirement with the employment adviser.

How to apply



Saxton Bampfylde Ltd is acting as an employment agency adviser to the Solicitors Regulation Authority on this appointment.

Candidates should apply for these roles through the website at www.saxbam.com/jobs using the code QAFAAF.

Click on the 'apply' button and follow the instructions to upload an up-to-date CV and a supporting statement (maximum two pages) that outlines your interest in our organisation and these roles and your fit against the criteria outlined in this pack. Please complete the online equal opportunities monitoring form as part of the application process. The equal opportunities form will not be shared with anyone involved in assessing your application.

If you are not applying for both Director roles you will need to make it clear in your application which role you are applying for. Alternatively, if you wish to be considered for both roles but have a preference for one in particular, please specify which role would be your first choice in your supporting statement.

If you are unable to apply through the website, please email belinda.beck@saxbam.com

Key dates

The closing date for applications is noon on 16 July 2024.

Following a long-listing meeting of the selection panel on 24 July 2024, longlisted candidates will be invited to attend an online preliminary interview with Saxton Bampfylde.

Following a short-listing meeting of the selection panel on 27 August 2024, shortlisted candidates will be invited to attend a final interview in Birmingham with the selection panel in September.

Please note the timelines for this campaign may be subject to change.

Saxton Bampfylde



Equal opportunities

Equality, diversity and inclusion are central to everything we do, both externally and within the SRA. We know a fully diverse legal sector is important for the users of legal services, for wider public confidence and, of course, for all those who work in the sector. And we know that we have a leadership role in demonstrating diversity in action, and that we are a better organisation because of it.

So we value, respect and celebrate diversity in our workplace and the benefits it brings to our culture and how we work as an organisation.

More information about [our equality, diversity and inclusion work](#) is available on our website, as is the [annual report on the profile of our workforce](#).

We are an equal opportunities employer and positively encourage applications from suitably qualified and eligible candidates, regardless of age,

disability, gender, gender reassignment, marital status, pregnancy or maternity, race, religion or belief, sex or sexual orientation.

We are positive about recruiting people with disabilities and have the Disability Confident accreditation. We are a recognised Stonewall Diversity Champion and a member of the Employers Network for Equality and Inclusion. Please see [our website](#) for further information.

We operate a guaranteed interview scheme for disabled people (as defined in the Equality Act 2010) who meet the essential criteria for this appointment as outlined under 'person specification'. Applicants who wish to apply for consideration under this scheme should make that clear to the employment adviser.



Eligibility criteria

To be an effective regulator, and to maintain public confidence in the profession, the SRA must earn and retain the trust and confidence of the public and the profession.

As well as making sure we comply with relevant legislation (eg eligibility to work in the UK), we also aim to make sure our staff demonstrate the honesty, integrity and professionalism expected by the public and those we regulate.

Pre-employment checks

Anyone who joins our organisation will be required to undergo a range of due diligence checks. These include:

- satisfactory references and employment history
- proof of eligibility to work in the UK
- an identity check, financial probity check and basic criminal record check (DBS).

We may also conduct the following:

- professional registration checks
- regulatory investigation or disciplinary checks
- online and social media checks.

The employment adviser will also consider anything in the public domain related to your conduct or professional capacity. This includes undertaking online searches including social media, blogs or any other publicly available information. This information may be made available to the panel, and it may wish to explore any issues with you, should you be invited to interview.

Conflicts of interest

Candidates must note the requirement to declare of any business or other interests or any personal connections which, if you are hired, could be a conflict of interest, misconstrued or cause embarrassment to the SRA. If you believe that you may have a conflict of interest, please contact the employment adviser to discuss.