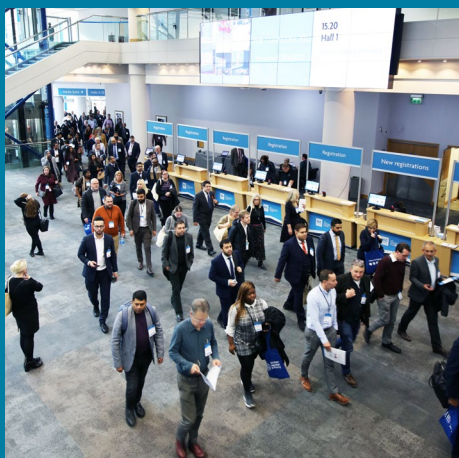


Solicitors
Regulation
Authority



Recruitment pack for the appointment of **Heads of Investigations**

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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 three Heads of 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.



Roles and person specifications

Head of Investigations

The role

The Head of Investigations leads teams that investigate reports of serious misconduct, delivering the highest standards in the quality and timeliness of investigations with outcomes that protect the public and uphold high professional standards, providing a credible deterrence for the regulated community.

With a team size of approximately 30 and around five direct reports, you will contribute to the effective leadership of the Investigations department and the broader Investigations and Enforcement directorate.

Key responsibilities include:

- Ensure effective leadership of investigations and meet expected requirements in case handling and in delivering timely key performance indicators (KPIs).
- Accountable for delivering high-quality, risk-based decision-making in investigations across teams and in own decision-making, based on our enforcement strategy and other decision-making guidance.
- Maintain and improve technical skills across teams, enabling high-quality investigations and high levels of customer service.
- Ensure effective monitoring and management of team performance, using data and qualitative information, giving timely feedback on performance to individuals, support and encourage improvement and address under-performance where necessary.

The role continued...

- Identify and effectively manage risk to consumers and any potential impact on confidence in the Solicitors Regulation Authority (SRA) and the legal profession, ensuring effective operational/regulatory responses are implemented to mitigate risks and including escalating matters, where appropriate.
- Play a leading role in coordinating effective responses to high-risk/high-profile matters and managing risks to consumers.
- Proactively identify opportunities/needs for improvement in the quality and timeliness of investigations, working collaboratively with stakeholders to develop and implement effective solutions and drive continuous improvement.
- Ensure effective monitoring and understanding of business needs, demand and resources, proactively planning ahead to ensure that teams have the capacity and capability to deliver their roles effectively.
- Develop constructive relationships with the regulated community, as well as external and internal stakeholders, including other regulators, government departments/agencies and law enforcement agencies.
- Proactively develop a culture of continuous improvement and inclusivity across teams.

Person specification

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

Requirements:

- Extensive relevant regulatory experience from a professional service or risk-based regulator and/or significant law practice experience. If only one present, evidence of strong ability to fully comprehend the other.
 - Proven experience of decision-making and case direction at senior level on complex issues/ investigations.
 - Able to demonstrate a good awareness of the legal profession and our role as a regulator, with up-to-date and significant understanding of the external legal, political and economic-influencing factors.
 - Significant experience of effectively monitoring and driving high standards and continuous improvement in quality and performance across large operational teams.
 - Outstanding communication skills and ability to communicate effectively internally and externally, including being a credible representative of the SRA.
 - Able to demonstrate energy, confidence and flexibility in the delivery of change.
 - Proven experience of operating autonomously and collaborating as part of a functional or cross-functional team.
 - Strong collaboration and influencing skills to develop and implement solutions to complex and challenging issues.
- Although not essential, candidates who also bring any of the following are of particular interest:
- a good knowledge of the legal framework and the SRA's Standards and Regulations
 - knowledge of the application of risk principles and the operation of risk management processes, including an understanding of the SRA's risk-based regulatory framework
 - experience of managing managers
 - experience of delivering training to staff.

Head of Investigations – Interventions and High-Profile Cases

The role

The Head of Investigations – Interventions and High-Profile Cases leads teams that investigate reports of serious misconduct. Through your teams, you will deliver the highest standards in the quality and timeliness of investigations – with outcomes that protect the public and uphold high professional standards, providing a credible deterrence for the regulated community.

With an overall team size of approximately 20 and around three direct reports, you will contribute to the effective leadership of the Investigations department and the broader Investigations and Enforcement directorate.

With a specific focus on interventions, you will ensure regulatory action is taken to mitigate risks to the public.

Key responsibilities include:

- Ensure effective leadership of investigations and meet expected requirements in case handling and in delivering timely key performance indicators (KPIs).
- Accountable for delivering high-quality, risk-based decisions and recommendations related to our powers of intervention across teams and in own decision-making.
- Ensure delivery of the highest standards in the quality and timelines of subsequent disciplinary investigations with outcomes that create a credible deterrence for the regulated community.
- Maintain and improve technical skills across teams, enabling high-quality investigations and high levels of customer service.
- Responsible for operating a robust and enhanced case management approach across a high-profile and complex case load to ensure consistency of approach across themes, enhanced reporting and escalation processes and additional reporting to ensure trends are identified and shared across the business.
- Ensure effective team performance management, using data and qualitative information. Identify opportunities for improvement in the quality and timeliness of investigations and drive continuous improvement.
- Identify and effectively manage risk to consumers and any potential impact on confidence in the SRA and the legal profession.
- Ensure the team take effective operational/regulatory steps to mitigate risks, including escalating matters, where appropriate.
- Responsible for delivering effective investigations in relation to high-risk/high-profile matters and managing risks to consumers.
- Ensure effective monitoring and understanding of business needs, demand and resources, proactively planning ahead to ensure that teams have the capacity and capability to deliver their roles effectively.
- Proactively develop a culture of continuous improvement and inclusivity across teams.

Person specification

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

Requirements:

- Extensive relevant regulatory experience from a professional services or risk-based regulator and/or significant law practice experience. If only one present, evidence of strong ability to fully comprehend the other.
- Able to demonstrate a good awareness of the legal profession, with up-to-date and significant understanding of the external legal, political and economic-influencing factors, together with understanding of law firm business structures, business models and financial/accounting processes.
- Proven experience of effective risk-based decision-making and case direction at senior level on complex issues/investigations, including balancing the interests of a variety of stakeholders.

- Outstanding communication skills, able to communicate and work effectively with internal and external stakeholders at senior level, including being a credible representative of the SRA.
- Strong collaboration and influencing skills to develop and implement solutions to complex and challenging issues.

Although not essential, candidates who also bring any of the following are of particular interest:

- qualified accountant or solicitor
- a good knowledge of the legal framework and the SRA's Standards and Regulations
- knowledge of the application of risk principles and the operation of risk management processes, including an understanding of the SRA's risk-based regulatory framework
- experience of managing managers.



Head of Investigations – Proactive and Intelligence

The role

The Head of Investigations – Proactive and Intelligence leads Investigation and Intelligence teams whose primary focus is on the identification and assessment of risk. Working closely with specialists in risk analysis and data strategy to deliver the highest standards of risk assessment and quality investigations, you will lead an overall team size of approximately 20. With around three direct reports, you will contribute to the effective leadership of Investigations and the broader Investigations and Enforcement directorate as part of the senior leadership team.

Key responsibilities include:

- Accountable for the SRA Intelligence function, acting as a focal point for sensitive intelligence coming into the SRA and acting as first point of contact for other agencies in the public and private sector at a senior level investigating firms and individuals. The successful individual will continue to develop relationships with these and new organisations.
- Work with our Risk and Analysis team to embed a robust risk framework across all operational teams and effectively manage risk to consumers and potential impact on confidence in the SRA and in the legal profession.
- Accountable for delivering high-quality, risk-based decision-making and reporting concerning proactive, on-site investigations across teams and in own decision-making, based on our enforcement strategy and other decision-making guidance.
- Drive forward a proactive approach to our regulatory objective of detecting and preventing fraud, including developing and driving a programme of proactive, risk-based inspections.
- Ensure effective team performance management, using data and qualitative information. Identify opportunities for improvement in the quality and timeliness of investigations and drive continuous improvement.
- Prioritise the work of the Proactive teams, working with the other functions in the SRA and taking into account intelligence received to advise other functions.
- Drive excellence and a positive, coherent stakeholder experience of the SRA throughout the organisation through effective engagement, visible leadership of the SRA's vision, values, behaviours and leadership competency framework.



Person specification

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

Requirements:

- Detailed understanding of assessment and identification of risk and horizon scanning.
- Understanding categories of and trends in fraud, money laundering rules and legislation and of intelligence and investigative techniques.
- Able to make decisions at operational and strategic level.
- Proven experience of developing and maintaining relationships at the most senior levels within a wide variety of government bodies, such as the various national police forces, Serious Fraud Office, National Crime Agency and also with banks, insurance and accountancy firms and other regulators.

- Able to demonstrate a good awareness of the legal profession and our role as a regulator, with up-to-date and significant understanding of the external legal, political and economic-influencing factors.
- Significant experience of effectively monitoring and driving high standards and continuous improvement in quality and performance across specialist operational teams.

Although not essential, candidates who also bring any of the following are of particular interest:

- experience of risk frameworks across a range of operational areas
- financial acumen with the ability to manage budgets and ensure strong financial controls
- experience of managing managers.





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.

You 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 £65k-70k dependent on experience. We offer a competitive and flexible benefits package. For more information, contact the employment adviser.

Contract

All 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 SRA on this appointment.

Candidates should apply for this role through the website www.saxbam.com/jobs using the code QAFAAG.

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, 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 do not wish to be considered for all three of these positions, you will need to make it clear in your application which role/s you are applying for. Alternatively, if you wish to be considered for all roles but have a preference, please specify which role/s are of most interest 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 26 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 28 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.

