



Appointment of **Director of Client Protection**

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Contents

1. About the Solicitors Regulation Authority
2. Role – Director of Client Protection
3. Person Specification
4. Equal opportunities
5. Terms of appointment
6. How to apply

“The SRA's vision is to be the leading regulator of legal services; recognised for the outcomes it achieves in the public interest and the way in which it achieves them.”

About the Solicitors Regulation Authority



The Solicitors Regulation Authority (SRA) is the regulatory arm of the Law Society of England and Wales. We operate independently and have our own governance arrangements.

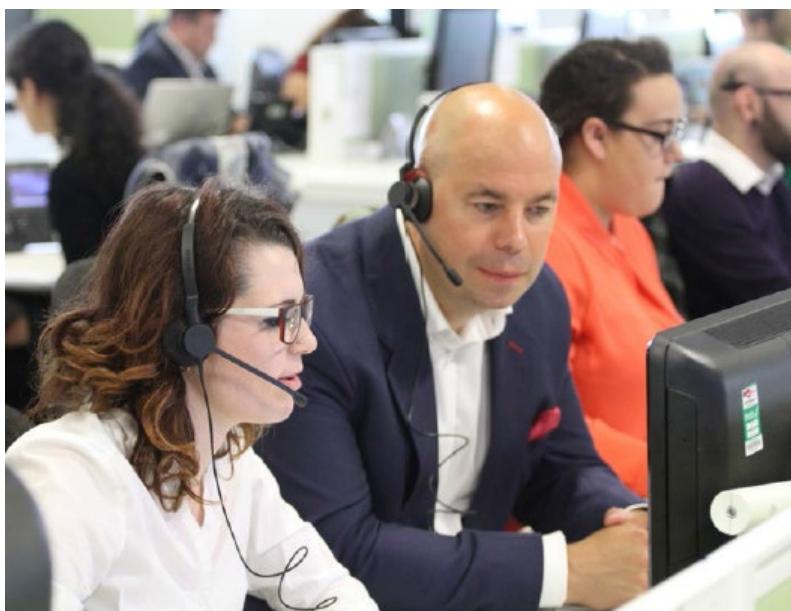
We regulate solicitors and organisations providing legal services – both solicitors' firms and other bodies licensed under the Legal Services Act 2007 (LSA) – and the people employed within those firms and bodies. Importantly, we regulate in the public interest, protecting members of the public, supporting the Rule of Law and the administration of justice. We do this by overseeing all of the education and training requirements necessary to enter the profession and practise as a solicitor, licensing individuals and firms to practise, setting the standards of the profession and regulating and enforcing compliance against these standards.

The SRA operates within a statutory framework provided by the Solicitors Act 1974, the Administration of Justice Act 1985 and the LSA. We also operate within the framework provided by General Regulations (which set out the relationship between the SRA and the rest of the Law Society Group) and also by formal guidance provided by the oversight regulator, the Legal Services Board. Together, the statutory framework provides that the SRA must have regard to, and 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;
- ensure that regulatory interventions are transparent, accountable, proportionate, consistent and targeted only at cases in which action is needed; and
- ensure that best regulatory practice is adopted.

We are engaged in a major regulatory reform programme with a sharp focus on high professional standards, reducing the burden of regulatory bureaucracy while ensuring proper public protections, promoting and supporting an open, competitive, modern legal market and increasing access to legal services. After significant development and consultation over the last five years, we are now looking ahead to implementing the changes.



Our 2017-20 Corporate Strategy [here](#) sets out five strategic aims. We will:

1. set and apply consistently high professional standards for the individuals and firms we regulate and make sure they are appropriate to meet the challenges of today and the future;
2. make sure our regulatory requirements are proportionate, providing solicitors and firms the flexibility to innovate and better meet the needs of members of the public and businesses, while maintaining appropriate levels of public protection;
3. increase the availability of relevant and timely information to help people make informed choices in the legal services market.
4. make sure that our regulatory arrangements work as effectively as possible for the public, businesses, solicitors and firms in the context of constitutional developments within the UK and any new relationship with the EU; and
5. work better together and with others to improve our overall effectiveness, our responsiveness and the delivery of our regulatory functions.

Structure, governance and management of the SRA

The work of the SRA is overseen by a Board, consisting of 12 members – six lay and six solicitors. The Board is supported by the Chief Executive and senior management team.

For more information, click [here](#).

Role – Director of Client Protection

Purpose of the department

To direct the Client Protection function for the SRA targeted at the following main purposes following intervention:

- effect the immediate closure of a solicitor's practice by taking possession of files/documents and money held
- deal with applications for grants from the Compensation Fund
- return client money taken by the SRA on an intervention after analysis and remedial work on the accounts of the intervened firm
- recover costs of various regulatory activity, including intervention, Tribunal proceedings and costs of investigations

Key Accountabilities

- Lead the Client Protection team to provide an efficient, effective service that ensures that clients' rights are fully protected by effective intervention and by efficient and prompt compensation arrangements
- Develop and deliver the Client Protection strategic and business plans in conjunction with fellow senior managers
- Ensure a high standard of operational delivery in a well-controlled environment, achieving technical excellence
- Support the development of the SRA's outcome focused, risk based regulatory approach, including collaborative, flexible working practices
- Lead, motivate and develop staff in a sometimes-challenging environment and build upon the culture of continuous improvement, technical excellence and a high level of customer service
- Explain the SRA's Client Protection function to external audiences, ensuring the credibility of the directorate
- Work with senior managers within the Operational Performance Group to plan for variations in workload and share/redeploy resources across the organisation in line as required

Key decisions: Complex decisions, both technical and operational, affecting Interventions, Compensation Fund and monies held on statutory trust; which debtors to pursue and whether recovery is viable.

Planning and Organising

- Lead the Client Protection team to achieve its goals and continually improve its performance
- Plan and organise the work of the Client Protection team on an operational basis, improving processes and controls to drive a culture of continuous improvement
- Contribute to the strategic planning process in conjunction with the Senior Management team
- Be able to anticipate and overcome challenges both strategically and operationally

Dimensions

- Expenditure budget of circa £9m
- £11m held in statutory trust; fluctuating amount of circa £40m held in Compensation Fund
- Responsibility for Compensation Fund grants per year of £10-20m
- Team of 45 staff

Person Specification

Knowledge and Experience

- Experience of senior operational management in a customer-focused environment, being able to demonstrate strong delivery experience
- Strong commercial acumen, balancing regulatory requirements with cost effective solutions and managing external providers
- Understanding of good practice in financial management and demonstrates strong, analytical and proactive thinking
- Relevant experience of dealing with complex financial accounting issues

Skills

- Ability to manage and motivate specialist technical teams
- Lead, motivate and develop staff through change and in a pressurised environment
- Credible leader, adept at working through others to deliver outstanding results
- Collaborative in approach and committed to team working
- Excellent ambassador for the business and its culture and values
- Ability to think strategically
- Ability to develop a strong understanding of the legal basis of interventions, Compensation Fund, statutory trusts and cost recovery litigation and apply case law and statute in an operational environment



Equal Opportunities

The SRA is an equal opportunities employer and positively encourages applications from suitably qualified and eligible candidates regardless of gender, race, disability, age, sexual orientation, gender reassignment, religion or belief, marital status, or pregnancy and maternity. We value and encourage diversity in our workforce and 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 in the Person Specification. Applicants who wish to apply for consideration under this scheme should make that clear on the Diversity Monitoring form.

Please contact Saxton Bampfylde if you would like to receive this document in an alternative format.

Terms of appointment

Remuneration will reflect the seniority of the role and will be negotiated with the preferred candidate.

This role will be based in our main office in Birmingham, the Cube, with occasional travel.

The SRA offers a generous benefits package.



How to apply

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

Candidates should apply for this role through our website at **www.saxbam.com/jobs** using code **QAFAT**.

Click on the 'apply' button and follow the instructions to upload a CV and cover letter, and complete the application and equal opportunities monitoring* form.

The closing date for applications is noon on Thursday 29 August 2019.

GDPR personal data notice

According to GDPR guidelines, we are only able to process your Sensitive Personal Data (racial or ethnic origin, political opinions, religious or philosophical beliefs, trade union membership, genetic data, biometric data, health, sex life, or sexual orientation) with your express consent. You will be asked to complete a consent form when you apply and please do not include any Sensitive Personal Data within your CV (although this can be included in your covering letter if you wish to do so), remembering also not to include contact details for referees without their prior agreement.

*The equal opportunities monitoring online form will not be shared with anyone involved in assessing your application. Please complete as part of the application process.