



Appointment of Director Regulation & Professional Standards

April 2025

Reference: **QBREF**

Chair Foreword

Dear Candidate

Professional standards are the foundation of public trust in any professional body. At AAT, we recognise that trust is not given—it is earned, safeguarded, and reinforced every day. Our commitment to high professional standards is not just a regulatory obligation; it is central to who we are, how we serve the public interest, and how we build recognition for our members.

As part of our recent governance reforms, the Professional Regulation and Standards Compliance (PRSC) Board now holds full delegated authority over standards and regulatory activities, ensuring that decisions about member conduct and compliance remain independent, fair, and free from any conflicts. This marks a significant step forward in reinforcing public confidence in AAT's role as a regulatory and supervisory body.

We are now seeking an exceptional Professional Standards and Regulation Director—a strategic leader who will operate at the very heart of this framework. Reporting to me as Chair of the PRSC Board on regulatory matters, and the Executive Director of Strategy and Compliance for administrative purposes, this individual will be accountable for ensuring that AAT's regulatory approach is rigorous, proportionate, and forward-thinking.

This is a role for someone with considerable experience in regulation and stakeholder engagement, ideally with expertise in anti-money laundering (AML) supervision. The ideal candidate will be comfortable navigating a complex regulatory landscape, shaping policy at a strategic level, and ensuring robust governance and operational effectiveness. They must also be an engaging and credible leader, able to work constructively with colleagues, government, oversight bodies, our members, and consumers to uphold and enhance public trust in the profession.

Few roles have a more direct impact on AAT's future than this one. As the guardian of AAT's professional integrity, the Professional Standards and Regulation Director will shape the next chapter of our regulatory function—not just ensuring we meet our regulatory obligations, but also enhancing consumer protection and customer experience, modernising our regulatory processes, and driving continuous improvement. This is an exciting opportunity to lead change at a transformative time for AAT.

Yours faithfully

Richard Collins OBE, Chair, Professional Regulation and Standards Compliance Board



An introduction

AAT is the Association of Accounting Technicians, the world's leading professional body for accounting technicians. It is a UK company, limited by guarantee, registered as a Charity, and its subsidiaries are AAT Botswana, AAT Publications and Accounting Technicians (Services) Limited.

We develop finance qualifications that ensure business can draw upon skilled people, fully equipped to meet its challenges head-on. We believe everyone should have the opportunity to unleash their career ambition – so we make it happen. We break down barriers, empowering more people with the real-world expertise valued by organisations in all sectors.

As part of the AAT community, our nearly 124,000 members and students belong to an inclusive association of accountancy professionals around the world. With access to a network of insights, opportunities and lifetime learning – we keep skills up to date, relevant and ready for business.

We are committed to being an inclusive and welcoming place to work. We encourage applications from diverse candidates and make recruitment decisions based on skill and experience. We are a disability-confident committed employer and have signed up to the Race at Work Charter. We have also signed up for the Women in Finance Charter, and in 2022 we exceeded our target for appointing females into senior positions.

Our highlights in 2023–24



Our charitable objectives

Our charitable objects underpin our business model and strategy:

1. to advance public education and promote the study of the practice, theory and techniques of accountancy;
2. (a) to prevent crime; and
 - (b) to promote the sound administration of the law for the public benefit by promoting and enforcing standards of professional conduct amongst those engaged in accountancy by monitoring and supervising their compliance with money laundering legislation.

Director Regulation & Professional Standards

Major objectives

- › The Professional Standards and Regulation Director is a strategic role responsible for overseeing the regulatory framework and standards for the registration and ongoing practice of AAT accountants and licensed members within the AAT. This position ensures that all regulatory practices align with our commitment to integrity, professionalism, and public trust, and stand up to scrutiny.
- › The Professional Standards and Regulation Director is accountable to the Chair of the Professional Regulation and Standards Compliance Board for effective oversight and delivery of AAT's supervisory activities - including policies, procedures and controls - and is the Single Point of Contact (SPOC) for Anti-Money Laundering supervision purposes. They will report to the Executive Director of Strategy and Compliance for management purposes.

Leadership expectations

- › To inspire, galvanise and support teams through the creation or transformation of wide-ranging functions as required.
- › To lead teams that have impact across the business, considering those impacts on them and working closely with them to jointly shape ways of working and/or successful outcomes for AAT
- › Continually horizon scan to ensure plans remain fit for purpose and seek opportunities for further developments.
- › To create a culture professionalism within the teams, focusing on outcomes, maximising efficiency and effectiveness, working collaboratively and actively demonstrating AAT's behaviours.
- › To motivate colleagues individually and collectively to perform at their highest ability.
- › To effectively manage the performance of team members, coaching and developing them to reach their full potential and addressing under performance appropriately.
- › To create and communicate clear team-based plans and individual's objectives that align to AAT's overall vision.
- › To effectively manage the finances, budgets and risks for the for the Professional Standards and Regulation service in line with our internal controls.

Key Responsibilities:

- Responsible and accountable to the PRSC Chair of the Board for all aspects of PRSC activity, reporting to the Chair, and operating with a significant degree of autonomy.
- Work with the senior leadership to ensure professional standards and regulatory considerations are embedded into planning and delivery across the organisation.
- Develop and implement a robust regulatory strategy and framework in alignment with external regulatory requirements, such as OPBAS' sourcebook, alongside the PRSC
- Ensure regulatory governance structures meet the standards expected by both AAT and external bodies
- Act as SPOC in accordance with requirements under OPBAS' sourcebook
- Lead the standards and regulation function, setting clear objectives and ensuring high performance.
- Engage with government bodies, other professional bodies, regulatory authorities and other key stakeholders.
- Ensure transparent processes for the registration, assurance, investigation and enforcement of members and licensed members.
- Ensure AAT makes fair, robust and accountable decisions in the public interest.
- Ensure the effective identification of regulatory risks and look for opportunities to develop policy to intervene in those risks to prevent consumer detriment.
- Ensure AAT has the right consumer protection services in place to provide trust and confidence in our regulatory model.
- Working with the Compliance Director, ensure AAT meets its responsibilities as an AML professional body supervisor, including reporting and disclosure responsibilities, and any future responsibilities as a designated professional body for other services.
- Manage AATs regulatory governance and decision making matters in relation to the PRSC Board, and any other relevant boards, committees, panels or tribunals.
- Provide strategic leadership to the PRSC Board, other governance bodies, and stakeholders on regulatory matters, risks, and opportunities.
- Promote a culture of compliance and integrity within the organisation.
- Oversee and be accountable for staff training and cascading regulatory updates, for example legislative changes, on all regulatory aspects, including AML.
- Ensure the effective delegation of AML functions within the team.

Person Specification

Knowledge and experience:

- Strong understanding of the regulatory environment for professional services in the UK.
- Understanding of regulatory risk and the tools and policy to mitigate those risks.
- Understanding of regulating both individuals and businesses
- Knowledge of AML regulations and requirements for accountants and professional body supervisors (highly desirable)
- Proven experience in a senior regulatory role, preferably within a professional body.
- Experience across all areas of regulation including registration, assurance/supervision, investigation and enforcement
- Experience of developing and implementing regulatory policy, including consumer protection mechanisms
- Experience of working effectively with an oversight body to ensure obligations are met

Skills

- Excellent leadership and interpersonal skills, with the ability to manage and motivate a diverse team.
- Strong analytical and problem-solving skills.
- Demonstrated ability to think strategically and to communicate complex regulatory concepts to a variety of stakeholders.
- Excellent written and oral skills, able to tailor messages to different audience
- Ability to make informed decisions quickly and effectively.
- Ability to work with a significant degree of autonomy
- Ability to make difficult decisions in challenging environments

Education

- Relevant degree or equivalent experience

Terms of Appointment

Portfolio: Strategy and Compliance

Service: Professional Standards and Regulation

Reporting to: Chair of Professional Regulation and Standards Compliance (PRSC) Board on regulatory matters and the Executive Director of Strategy and Compliance for administrative purposes

Responsible for: The Professional Standards Team – all aspects of registration, assurance, investigation, enforcement and regulatory policy.

Remuneration: £120,000 plus benefits

Location: AAT has an office in London, and works in an agile hybrid model



**Focused, relevant,
*ready to deliver***

Our purpose and behaviours

Our purpose

To open up access to finance careers for everyone. To inspire and develop an inclusive community of accounting professionals equipped with the real-world skills needed to help business meet the challenges of our fast-changing world.

Our ambition

To gain global recognition for Accounting Technicians, delivered through effective partnerships applying transferable and comparable standards that will increase the capacity for Accounting Technicians to make a difference across the world.

Our behaviours



How to apply

Saxton Bampfylde Ltd is acting as an employment agency advisor to AAT on this appointment.

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

Click on the 'apply' button and follow the instructions to upload:

- a CV
- cover letter
- complete the online diversity monitoring* form

The closing date for applications is **noon on, Wednesday 14 May 2025**

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

As a Disability Confident employer, we will guarantee an interview for people with disabilities who meet all the essential criteria and so if you would like to be considered under this scheme then please let us know.

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.



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for the real world