



Executive Director of Investigations and Enforcement Recruitment Pack



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An introduction

The Solicitors Regulation Authority (SRA) is the regulator of solicitors in England and Wales. We set the standards for more than 200,000 solicitors and 9,000 firms in England and Wales, regulating around 90 per cent of the legal market.

The next period will be one of significant change for the organisation. Change in how we operate, change in the functionality and size of the organisation and change in leadership.

With our new Chief Executive joining us towards the end of the year, we are now looking to appoint a capable and experienced senior lawyer as our Executive Director of Investigations and Enforcement. You will take responsibility for around 375 staff and for managing upwards of 14,000 concerns each year about the solicitors and law firms regulated by the SRA. Your responsibilities will include all people and processes to deal with concerns received, to investigate them as appropriate and for our legal teams as they prosecute cases before the Solicitors Disciplinary Tribunal.

This role is not for the faint of heart, but it offers an opportunity to make a real positive difference. It is a high profile one, dealing with the core work

of the SRA in upholding professional standards and ensuring the public and the wider public interest is protected from the minority of solicitors that pose such a threat. Our work in this area is often very high profile and can, at times, be the subject of public debate and scrutiny.

Other aspects of the role include taking leadership responsibility for our General Counsel team and our Anti-Money Laundering work. However, given the change in organisational leadership over the next few months, these functions will be subject to ongoing discussion with our new Chief Executive, as the leadership team for the organisation develops.

We are looking for a seasoned lawyer – excellent legal skills and experience are a given, but with good political skills and the ability to make a wider contribution to the Executive Team, to our Board and to our organisational culture.



As the largest regulator of legal services in England and Wales, our role is to uphold high standards and protect the public, ensuring legal services remain ethical, expert and dependable.

Only those who meet our rigorous standards can qualify and practise. We look for increasing risks in the market and step in to address them. When things go wrong, we act, holding people to account, closing businesses or referring individual solicitors to an independent tribunal where needed. We also protect the public by safeguarding clients' money and files when a firm collapses, while we provide compensation to those who have lost money as a result of a solicitor's dishonesty.

We are focused on the issues that can transform legal services, making sure the profession delivers the high standards of service that the public deserves. Our corporate strategy has four strategic priorities. We will:

- deliver high professional standards
- strengthen our risk-based and proactive regulation
- support innovation and technology
- be an authoritative and inclusive organisation, meeting the needs of the public, consumers, those we regulate and our staff.

You can read more about our work in [our Corporate Strategy 2023-2026](#) and [business plan](#).



How we work

Regulatory framework

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.

How we work continued...

Structure, governance and management of the SRA

Established in 2007, the SRA was previously called the Law Society Regulation Board. We changed our name to emphasise our independence and to make what we do clearer. Since 2021, the SRA has been operating independently, as a company limited by guarantee.

Our work is overseen by our Board, currently consisting of 10 members – four solicitors and six lay people (one of whom chairs the Board).

- Our strategy sets out how we aim to work and is determined by our Board.
- Our [committees](#) assist the Board in its work.
- Our management team, led by the Chief Executive, implements our strategy.
- Our work is guided by documented [decision-making principles](#).
- We regularly publish [reports about our work](#).



Our people

Our mission is to strengthen confidence and trust in legal services and our people are central to delivering this.

Our [values and behaviours](#) describe who we are as an organisation and help shape our culture.

We are a diverse organisation of around 900 staff and most colleagues have hybrid work arrangements, blending home working with in-

person collaboration at one of our offices. Our head office is in [Birmingham](#) and we have offices in [Cardiff](#) and [London](#).

Hear staff talk about what it is like to [work at the SRA](#) from our Birmingham office.





The role

Reporting directly to the Chief Executive, the Executive Director of Investigations and Enforcement will provide strategic leadership and operational delivery of our enforcement work, including our legal and investigation work.

The postholder will manage approximately 375 staff, including our Investigations and Legal and Enforcement teams. This currently includes our Anti-Money Laundering and General Counsel teams, however, these are subject to ongoing discussion. The postholder will also be responsible for all externally commissioned legal services.

Key outcomes of the role include:

Executive Team accountabilities

- Accountable for the performance of the whole of the SRA through membership of the Executive Team, including but not limited to delivery of corporate and regulatory objectives, operational and financial performance, risk management, and ensuring a strong internal control environment. Accountable for creating a strong culture of collaboration and mutual support within the Executive Team.
- Driving excellence throughout the organisation through visible leadership of the SRA's vision, values, strategic objectives and behaviours.
- Building effective relationships outside the organisation with stakeholders and opinion formers.
- Ensuring fairness and transparency in the SRA's regulatory policies and practice and promoting equality of opportunity and respect for diversity, both within the organisation and in all its interactions with those regulated by the SRA and with the public.
- Playing a major role in leading organisational change at the SRA and supporting senior staff across the SRA to ensure timely delivery of organisational goals.

The role continued...

Functional responsibilities

- First and foremost, to deliver high-quality and timely investigation and enforcement work with a performance focus and culture.
- Ensuring high-volume performance through casework, delivering tangible outcomes and improvements in timeliness, quality and customer care and the need to be proportionate.
- Ensuring the effective and efficient use of resources and that budgets are managed in accordance with SRA policies.
- Taking Executive accountability for the delivery of our Investigations and Legal and Enforcement functions (with responsibility for our Anti-Money Laundering and General Counsel functions to be agreed).
- Delivering high-quality legal advice to the Executive and to the SRA Board.



Person specification

Our next Executive Director of Investigations and Enforcement should be and have:

- A qualified lawyer of outstanding personal qualities and substantial career achievements.
- Substantial experience in law including a mixture of litigation, public law, professional conduct and discipline, organisational governance, regulatory policy, competition law, information compliance and the UK legislative process.
- A broad understanding of legal issues impacting upon regulators.
- Excellent communication skills, both written and oral, having the ability to analyse and explain complex legal issues, policy and/or strategic objectives with clarity, simplicity and precision to legal and non-legal audiences.
- Capacity for sound judgement in dealing with sensitive, high-profile, and complex inter-linked issues.
- Senior level experience of operations management, ideally in a regulatory environment or professional services firm or similar.
- Experience of leading a large staff group in a high-volume, casework-based, processing environment, delivering tangible outcomes and improvements in timeliness and customer care.
- Proven leadership and people management experience of large/significant multi-disciplinary teams in a comparable role.
- A proven track record of working at a senior level, interacting with senior figures from within own organisation and elsewhere.
- A proven commitment to promoting an inclusive culture.
- Excellent political antennae and judgement, demonstrated in a complex stakeholder environment.
- Advanced interpersonal skills. The ability to build and manage complex stakeholder relationships and represent the SRA effectively with senior external stakeholders whilst at the same time working with the Chief Executive, SRA Board and Executive Team.



Terms of appointment

Location

This role will be based from our office in Birmingham, Cardiff or London, requiring a regular presence in all three of our locations.

Hybrid working arrangements are in place to allow for a certain amount of remote working from home.

Travel

Regular travel across the UK as needed for internal and external stakeholder engagement.

Salary

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



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 its website at www.saxbam.com/appointments using the code **QAFAAL**.

The closing date for applications is noon on Thursday 18 September 2025.

Click on the 'apply' button and follow the instructions to upload a CV and supporting statement (maximum two pages) that outlines your interest in our organisation and role and your fit against the criteria outlined in this pack.

Referees will not be approached without prior permission from candidates.

Please complete the equal opportunities monitoring form as part of the application process. This form will not be shared with anyone involved in assessing your application and will be treated as strictly confidential.

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

Key dates

The closing date for applications is noon on Thursday 18 September 2025.

Following a long-listing meeting of the selection panel on Monday 22 September 2025, longlisted candidates will be invited to attend a preliminary interview with Saxton Bampfylde.

Following a short-listing meeting of the selection panel on Wednesday 8 October 2025, shortlisted candidates will be invited to attend a final interview in London with the selection panel on Tuesday 4 November 2025.

Shortlisted candidates will also have an opportunity to meet with senior leaders for an informal discussion.

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

Saxton Bampfylde

How to apply continued...

GDPR personal data notice

Data will be held in secure conditions with access restricted to those who need it in connection with dealing with your application and the selection process. Data may also be used for the purposes of monitoring the effectiveness of the recruitment process, but in these circumstances will be kept anonymous. The equal opportunities monitoring form is used for monitoring the selection process only. You can access further information about [privacy, data and information](#) on the SRA's website.



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.

Please therefore declare:

- whether you have been committed to prison in any civil or criminal proceeding
- whether you have any criminal convictions (other than minor road traffic offences for which no custodial sentence was given)
- whether, to the best of your knowledge, you are under investigation in respect of professional misconduct or under criminal investigation
- whether you have had a court judgment against you
- any actual or potential conflicts of interest.

Disclosure of criminal convictions and cautions is governed by the Rehabilitation of Offenders Act 1974 (Exceptions) Order 1975 (as amended).

As part of the due diligence checks, the employment adviser will consider anything in the public domain related to your conduct or professional capacity.

This includes undertaking searches of previous public statements and 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.

You also agree to the SRA carrying out checks into any past or current findings or investigations relating to professional misconduct as part of the recruitment process. If you have any queries or would like to discuss further in confidence, please contact the agent representative.

Failure to disclose any material matter will normally have an adverse effect on your application.



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 reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex or sexual orientation.

We are positive about recruiting people with disabilities and have the Disability Confident accreditation. 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.

Please see [our website](#) for further information.

If you require any reasonable adjustment or have any queries with regard to the application process, please contact the employment adviser.