

ROLE PROFILE – Head of Regulatory Management

Career Framework: Operational /Delivery Level 5 (upper)

Role Purpose:

Leadership and management of a team of London-based Regulatory Managers, responsible for delivery of efficient and effective relationships with, and supervisory oversight of, a portfolio of the largest City, international, large national law firms and alternative business structures. The role-holder will also be required to engage with a range of key stakeholders in such firms at the highest levels (e.g. Senior and Managing Partners, COLPS and COFAs), with credibility and impact.

Outcomes:

- Regular review of both the appropriate regulatory management engagement strategy of the team's designated portfolio of firms across England and Wales and the team's internal processes for undertaking regulatory management activity.
- Delivery of regulatory management engagement by the team and individuals in accordance with plans and agreed processes which achieves the creation and development of strong relationships, appropriate risk assurance, dissemination of SRA policy developments, rule and process changes and the collation of relevant firm and market intelligence.
- Delivery of regulatory management engagement which achieves organisational KPIs and meets the expectations of internal stakeholders.
- Delivery by the Regulatory Managers of confident engagement with firms and representatives that is appropriately intrusive and challenging where necessary but which achieves the highest levels of quality, timeliness and professionalism and ensures that each firm is open, constructively engages with the SRA, and takes all requisite steps to comply with its regulatory obligations.
- Leading by example and ensuring the development of a culture within the team which is committed to compliance with SRA-wide culture, policies, processes and changes.
- Establish clearly defined responsibilities and objectives for individual Regulatory Managers, implementation of strong performance management and ensure ongoing development of their collective and individual capability, skills and technical knowledge which support them in their roles.
- Undertake effective oversight of the Regulatory Managers and where necessary provide assured support to them, expertise and ownership of challenging or complex regulatory relationships or issues with individual firms or their representatives.
- Jointly visit with Regulatory Managers, or where appropriate, lead the SRA's relationship with firms as necessary through an appropriate engagement strategy.
- Identifying and pursuing opportunities for collaborative internal engagement, ensuring representation of Regulatory Management on a range of internal forums and establishment of other relationships, to promote a wider understanding of the team's activities, share intelligence and promote consistency within the SRA and contribute to the development of SRA-wide culture, policies and, processes.
- Maintaining an excellent understanding of the legal and economic environment in which the firms operate and be proactive and forward-looking about identifying relevant risk areas for future engagement with firms.

Knowledge, Skills & Experience:

Essential:

- Relevant regulatory experience at a comparable regulator and/or relevant experience in a law firm or other professional services environment.
- Evidence of devising and implementing effective strategic and operational plans and processes.
- Experience of developing performance management frameworks and delivery against key performance indicators.
- Experience of leading, motivating and developing teams generally and during periods of change.
- Experience of effective day to day management and development of individuals.

This role profile is aligned to the internal SRA career framework.

The career framework profile outlines the generic requirements which are common to all roles within this strand/level. The role profile outlines supplementary role specific requirements.

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- Strong and credible personal and influencing skills, and evidence of networking effectively and building relationships with key and challenging stakeholders.
- Excellent communication skills (verbal and written) and ability to communicate effectively with internal and external stakeholders.
- Experience of operating autonomously and collaborating as part of cross functional team.
- An ability to analyse large amounts of complex information, make clear judgements based on relevant risk and business considerations, in order to identify key issues and appropriate solutions.
- Education to degree level or equivalent experience.

Desirable:

- Good knowledge of the legal framework and the SRA's principles / rules against which the key regulatory risks in the regulation of legal services are assessed.
- A good awareness and understanding of the legal profession, the main participants in the market, firms' operating models, their processes and culture and financial and economic drivers.
- Willingness to learn and develop, taking on new responsibilities and adopting a flexible, pragmatic approach to work.

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