

Authorisation

Career Framework: Matrix / Balancing
Level 2 (lower)

Role Purpose: To assist Authorisation in the delivery of our regulatory objectives. Role holders will contribute to the delivery of the Authorisation business plan by being responsible for making a wide range of risk-based, outcomes-focussed decisions on applications for regulatory approval made by individual solicitors and legal services firms. Decisions must meet timeliness and quality standards Role holders will be expected to support associated processes to ensure service levels and KPIs are met.

Outcomes:

- Makes regulatory decisions regarding applications deemed to be low/medium risk.
- Develops a thorough understanding of the SRA regulations, guidance and other regulatory materials to enable Authorisation regulatory decisions to be made.
- Analyses applications and supporting information to assess whether a firm or individual are suitable to be authorised.
- Uses a wide range of information sources to identify and assess risk and make carefully balanced judgements.
- Prioritises own workload on a daily basis, having regard to overall team performance and targets, ensuring adherence to SLA's.
- Contributes to a culture which delivers excellent customer service.
- Takes ownership of queries/complaints from internal/external customers to ensure resolution. This may involve referral to/liasing with other parts of the business.
- Identifies and resolves data integrity issues to ensure accurate maintenance of the roll and registers and compliance of firms and individuals with rules and regulations.
- Maintains accurate information in relation to statistics/data to support managers in their monitoring/evaluation of performance against SLA's/KPKI's.
- Maintains and reviews processes/procedures in order to facilitate effective/efficient delivery of services that deliver value for money.
- Makes recommendations for improving processes and actions them as appropriate, to support quality improvement.
- Assist with the induction and support of new team members.
- Contributes to key projects as required.

Knowledge, Skills & Experience:

Essential:

- Educated to A Level standard or equivalent experience.
- An ability to weigh up evidence, reach decisions and to report chosen outcome with clearly articulated reasons.
- An aptitude for understanding, interpreting and applying regulatory rules within a statutory framework.

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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- Ability to understand and interpret complex data and information.
- Ability to prioritise and work effectively under pressure whilst observing targets and quality standards – demonstrating resilience and ability to work independently or as part of an effective team.
- Track record of delivering results by taking ownership of issues and ensuring successful resolution.
- Experience of effectively dealing with a wide range of customers striving to achieve excellence at all times. Including the ability to communicate using appropriate methods.
- Ability to work with tact, diplomacy, professionalism and discretion at all times.
- Ability to identify and engage with a variety of stakeholders.
- Excellent IT and numeracy skills – ability to interrogate and analyse outputs e.g. Exception Reports.
- Experience in supporting and encouraging continuous improvement in delivery of operational outcomes.
- Willingness to learn and develop, taking on new responsibilities and adopting a flexible pragmatic approach to work.