

# ROLE PROFILE – Regulatory Supervisor Supervision

Career Framework: Matrix / Balancing  
Level 4 (lower)

## Role Purpose:

Responsible for managing a portfolio of cases of differing complexities, through engaging with firms and investigating reports about misconduct and regulatory breaches to achieve appropriate outcomes.

## Outcomes:

- Implement appropriate risk-based strategies to investigate reports of misconduct and regulatory breaches.
- Engage with firms, through desk based engagement and visits where appropriate, to resolve conduct and regulatory concerns.
- Collate and analyse information on reported conduct and regulatory issues in a timely manner to identify risks and decide what action, if any, should be taken using sound judgement based on the SRA's Principles, risk-based regulatory approach and handbook requirements.
- Write reports and documentation to the highest standards of quality, which are evidence based and demonstrate sound analysis, able to stand up to scrutiny of the Solicitors Disciplinary Tribunal and Courts.
- Work collaboratively across the SRA to ensure a joined up approach to regulation and decision making
- Establish credibility with firms, internal and external stakeholders.

## Knowledge, Skills & Experience:

### Essential

- Relevant regulatory experience from a comparable regulator ie professional services regulation or law practice experience.
- Experienced in leading complex investigations and critically analysing information to make recommendations demonstrating risk-based judgement.
- Excellent communication skills, both orally and in writing
- Highly organised and able to prioritise and progress cases effectively.
- Experience of influencing and constructively challenging internal and external stakeholders.
- Experience of working in an environment where priorities may change at short notice.
- Willingness to learn and develop, taking on new responsibilities and adopting a flexible, pragmatic approach to work.
- Experience of working well under direction and autonomously, and collaborating as part of a functional or cross functional team

### Desirable

- Reasonable knowledge of the legal framework and the SRA's principles / rules against which the key regulatory risks in the regulation of legal will be assessed

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.