

The SRA Vision is to be the regulator of choice, protecting the public, empowering, supporting and developing our people, providing value for money, fair and transparent outcomes and service excellence in everything we do. We are undergoing a significant period of regulatory reform with the implementation of Outcome Focused Regulation (OFR) which will transform the SRA into a more outcomes-focused, risk-based regulator.

Forensic Investigator

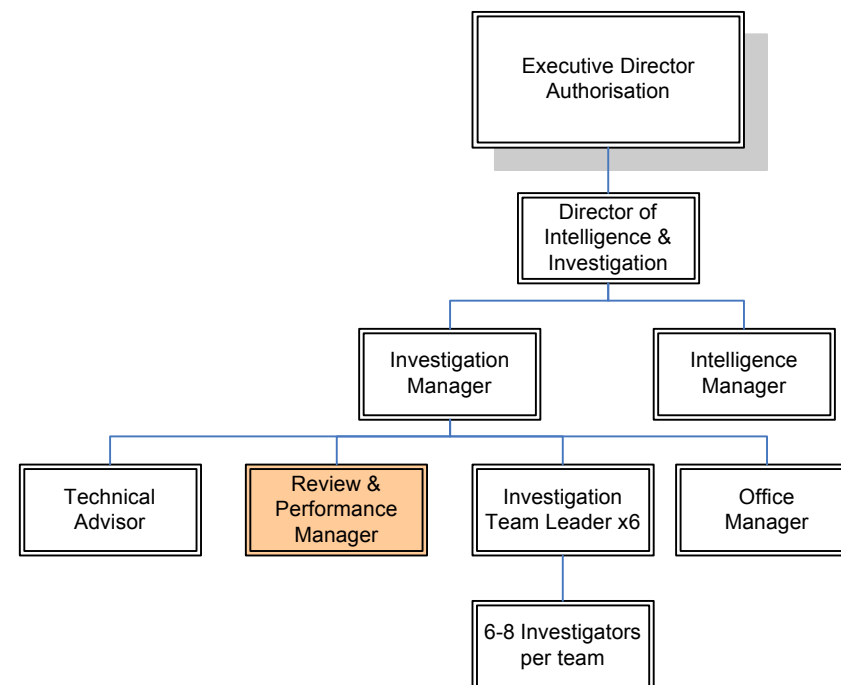
Job purpose: To provide an investigative process

Key Accountabilities

Forensic Investigations (FI) is a key component part of the Intelligence and Investigation Directorate within the SRA. Investigators attend solicitors' premises throughout England & Wales to identify, investigate and report serious breaches of all rules (Accounting and Conduct). They also investigate serious fraud and dishonesty not specifically covered by the Rules but which is considered likely to bring the profession in to disrepute and are required, where applicable, to secure admissible evidence for use in the Solicitors' Disciplinary Tribunal ('the Tribunal') and, if the matter proceeds to a criminal prosecution, at Court. Investigators support action taken by the SRA by giving evidence as required. The position involves the investigation of, inter-alia, mortgage fraud, money laundering, high yield investment fraud, probate fraud and new frauds or schemes as they arise. The role also includes working with law enforcement and other regulators.

Knowledge, Skills & Experience

- Valid driving licence
- Degree and/or ideally hold a professional qualification such as an accountancy or legal qualification.
- Experience in Accountancy, Law or a relevant investigative environment.
- Ability to comprehend and articulate the nature of complex frauds
- An understanding of risk and the nature of dishonesty.
- Ability to analyse numerical and financial information from a wide range of sources.
- Detailed knowledge of the handbook and code.
- Detailed knowledge of Solicitors Act and Legal Services Act.
- Working knowledge of Fraud Act, Money Laundering Regulations and Proceeds of Crime Act.
- Knowledge of how a wide range of frauds work in practice.
- Awareness of implications of legislation and guidance that may impact on investigations, e.g. Serious Organised Crime and Police Act, Police & Criminal Evidence Act, Criminal Justice Act (s) Financial Services Authority Guidelines, Freedom of Information Act, Data Protection Act, Human Rights Act.
- Calm and deliberate in situations when being challenged.
- Ability to deliver innovative solutions to problems as they arise when away from the office e.g. lack of records and sources of information.
- Resilient and able to cope in a high stress working environment on a daily basis.



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- Computer skills to include a good working knowledge of Excel and Word.
- Ability to identify unusual and complex issues, together with the tenacity to pursue those issues and the confidence to challenge the solicitor's conduct.
- Ability to communicate complex information clearly and concisely in written and oral form, including the ability to write logical, clear and concise reports.
- Excellent interpersonal skills and knowledge of investigative techniques, including cognitive interviewing of suspects and witnesses.
- Knowledge of legal gateways and intelligence sharing arrangements.
- An understanding of the legal processes, procedures and Rules of Evidence relating to the investigation and prosecution of solicitors and their employees.
- An awareness of other Regulators and how they operate.
- Ability to give cogent evidence both in the Tribunal and at court and the ability to deal with aggressive cross examination whilst maintaining the reputation of the regulator.
- Awareness of technical developments and patterns of criminality. Fraud is a fast moving environment and Investigators must remain up to date, open to new ideas and able to think strategically.
- Ability to efficiently manage own time and prioritise investigations so that they are completed on a timely basis.
- Ability to work alone with limited supervision.

Key Result Areas

- Investigate a firm's records to assess compliance with the handbook and to report accordingly. In all cases to prepare timed reports and in the case of significant breaches, prepare an FI report that will assist SRA to decide the extent to which a solicitor is failing to comply with the handbook.
- To work with and subsequently report matters to the Supervision Directorate.
- To undertake investigations for the Authorisations directorate as designation to support their decision making as to whether an individual, firm or ABS is fit and proper.
- Conduct cognitive interviews with solicitors and/or employees in relation to suspected breaches of the Rules and to gather information and evidence relating thereto.
- Conduct interviews with third parties as part of the evidence gathering

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process e.g. clients and financial institutions.

- Collate and scrutinise evidence to ensure that it is capable of use in proceedings at the Tribunal or in Court.
- Compile an investigation file containing evidence obtained during the investigation that may be used to support any disciplinary proceedings.
- Prepare affidavits for and give evidence as required at the Tribunal and, should the matter proceed to a criminal prosecution, in Court.
- Using the appropriate legal gateways and with due regard to the integrity and independence of the investigation, liaise when necessary with external agencies such as the Police, the Serious Fraud Office and other regulators to obtain evidence to further the investigation.
- Provide evidential statements, when directed, to support prosecutions by other agencies against a solicitor who has been investigated by such agencies or SRA.
- Assess and, where appropriate, investigate matters being dealt with by other SRA departments and provide feedback accordingly.

Dimensions

- The role is mobile / field based and officers are expected to travel throughout England and Wales in accordance with their duties.