

ROLE PROFILE - Forensic Investigation Officer

Investigation and Supervision Directorate

Career Framework: Operational/Delivery Level 4 (Upper)

Role Purpose:

- To lead on site investigations into regulated firms and individuals throughout England and Wales (for which extensive travel will be required) to identify, investigate and secure evidence of serious breaches of professional rules and other applicable legislation.
- To produce factual reports setting out this evidence.
- To represent the SRA by giving evidence at the Solicitors Disciplinary Tribunal and other courts of law in respect of forensic investigation findings. This includes providing support to the SRA's prosecution team at such hearings.

Outcomes:

- To investigate regulated firms and individuals, making clear and evidenced based decisions based on outcomes, protecting the public interest and mitigating regulatory risk.
- Assimilating and analysing complex information and financial data to ensure that a fair and accurate factual report is produced.
- React quickly to urgent matters where client money may be at risk, with the ability to travel throughout England and Wales at short notice.
- Working alone in remote locations to obtain evidence from various sources and in different formats to be able to substantiate reported issues.
- Ability to make and articulate investigative decisions succinctly and with clarity in accordance with SRA Standards & Regulations and its Enforcement Strategy.
- To assess a firm or individual's compliance with the SRA Accounts Rules, Code of Conduct, Money Laundering Regulations and any other relevant rules/legislation.
- Manage and report on progress and key outcomes on a timely basis.
- To represent the SRA and give evidence at the Solicitors Disciplinary Tribunal and/or Courts.
- Conduct interviews and obtain witness statements with solicitors, employees and third parties in an authoritative and competent manner and in accordance with a risk-based, outcomes-focussed approach.
- To hold enough knowledge about the SRA and reforms within the regulated legal sector in order to explain changes to solicitors and employees and to signpost clients to the relevant SRA department.
- Sharing expertise and knowledge across the SRA to promote and contribute to a high-performance culture and assist in identifying new areas of risk.
- Pro-actively collaborating across functions and engaging on projects to support the effective delivery of SRA objectives.
- To compile and cross reference complex investigation files in order that all investigative evidence and findings can be easily identified by a third party when necessary.
- Liaise where necessary with other regulators, law enforcement and other external agencies.
- Act as a positive role model to others by way of full engagement in new initiatives and ways of working.

Knowledge, Skills & Experience: Essential

- Strong accountancy skills with the ability to understand solicitors accounts, client ledgers and reconciliations.
- Experience in accountancy, law or relevant regulation / investigative environment.
- Resilient and able to cope in highly challenging environments, often working alone and in remote locations.

This role profile is aligned to the SRA career framework.

The career framework profile outlines the generic requirements which are common to all roles within this type and level. This role profile outlines supplementary role specific requirements. The two profiles should be read in conjunction.

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Level 4 (Upper)

- Proven ability to analyse, assimilate and evaluate large volumes of information in an efficient and effective way.
- Significant experience of applying and interpreting legislation, policy and criteria in decision making or in the provision of legal advice.
- An understanding of how the principles of statutory regulation impact on consumers and the importance of maintaining and upholding standards in the public interest.
- Ability to adopt a pro-active approach to achieve positive outcomes in a risk-based manner.
- Effective communication skills at all levels and in particular the ability to make complex matters easily understood by lay people.
- Full UK driving licence (outside London posts).

Desirable

- Degree and/or ideally hold a professional qualification such as an accountancy or legal qualification.
- Significant knowledge of the application of relevant SRA legislation, regulatory standards and procedures.
- Good understanding of SRA objectives and the implications of the Forensic Investigation function.
- Working knowledge of Fraud Act, Money Laundering Regulations and the Proceeds of Crime Act.

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