



Job Description

Job Details

Job title:	Case Manager
Reports to job title:	Head of Professional Standards
Directorate:	Public Policy Directorate – Professional Standards Team – TDB Operations
Version date:	17 August 2023

Job Purpose (briefly state your job's overall mission)

To ensure the professional standards and AML obligations placed on members of the CIOT and ATT are enforced as appropriate through effective and timely management of allocated complaints and case work.

Contextual Information

Operating Environment

The objects of the CIOT and ATT include the requirements:

- (i) to prevent crime and
- (ii) to promote the sound administration of the law for the public benefit by promoting and enforcing standards of professional conduct amongst those engaged in the provision of advice and services in relation to taxation and monitoring and supervising their compliance with money laundering legislation.

Each body is a statutory AML Supervisor.

Framework & Boundaries

The framework is provided by:

- our governing documents and also by the Professional Standards requirements placed on members <https://www.tax.org.uk/ciot-professional-standards-member-rules> and <https://www.att.org.uk/> (Professional Standards tab)
- The [TDS Regulations](#) and associated procedures agreed between the CIOT, the ATT and the TDB
- the requirements of the Money Laundering Regulations and associated legislation and the [OPBAS Sourcebook](#) requirements
- The Memorandum of Understanding between the TDB, CIOT and ATT and also the Memorandum of Understanding between the TDB, CIOT, ATT and HMRC



Key Accountabilities (the outputs of the job)

- Assist where necessary to screen complaints/referrals received
- Manage receipt of complaints/referrals and deal with allocated complaints and cases to bring them to conclusion in accordance with the requirements set out in Framework and Boundaries above and associated procedures
- Act as investigator and obtain evidence, including drafting of witness statements and issuing instructions to expert witnesses. Maintain flow of communication with respondents, complainants and other relevant parties
- Attend hearings to act as Presenting Officer in appropriate cases and/or clerk to the panel, including on appeals
- Draft charges in appropriate cases
- Brief Counsel in complex cases and negotiate fees.
- Manage cost of cases within budget, including preparing cost estimates for each stage, implementing controls and reporting on variances
- Assist with the enforcement of fines and compensation orders using external debt recovery as appropriate
- Act as point of contact for complainants, parties, advocates, witnesses and other parties as appropriate
- Collate data for reports to the Board, sponsors, HMRC and other stakeholders
- Attend meetings to report on AML enforcement activity as required

Potential job impact (desired impact of this role)/decisions

- Ensuring a responsive and professional disciplinary procedure for members and the public
- Effective and efficient progress of all complaints and case work to meet KPIs of the TDB Board and sponsoring bodies which will inspire confidence in the CIOT and ATT disciplinary process and withstand scrutiny from the Office of Professional Body AML Supervision (OPBAS) in relation to AML enforcement
- Record keeping on disciplinary cases which enables accurate reporting to all parties

Job Dimensions (indicate in quantitative terms the key areas on which your job has an impact)

People management responsibilities:	None
Budget management responsibilities:	None
Key contacts/relationships/stakeholders managed:	<ul style="list-style-type: none">• Internal key contacts – the wider Professional Standards team, membership team, finance and IT• External key contacts and stakeholders – ATT and CIOT members, OPBAS, TDB Board, Panels and Tribunals and aligned professional regulatory bodies



Person Specification (Skills needed to fulfil the role)

Knowledge and experience

- Expert in one or the other of:
 - Accountancy and Taxation
 - Regulatory law
- Experienced solicitor or Member of the Chartered Institute of Legal Executives (desirable)
- A relevant accountancy or tax qualification (desirable)
- Experience drawn from a financial services or other professional regulatory environment
- Experience of appearing before courts and/or tribunals as an advocate or a willingness to develop into this area

Functional/technical skills

- Knowledge of relevant legislation (including AML) and CIOT/ATT's rules and guidance
- Good working knowledge of relevant software packages, including case management systems, CRM, Word, Excel and Power Point

Interpersonal and work management Skills

- Excellent interpersonal and customer service skills
- Excellent written and verbal communication skills
- Attention to detail
- The ability to work to fixed deadlines and objectives
- Problem solving skills

Values and Behaviours

- Self-motivated, able to work on own initiative as well as part of a team
- Integrity and discretion
- Flexible mindset and willing to learn new skills
- Conscientious and thorough approach to work
- Resilience and tenacity to ensure difficult projects can be seen through from inception to completion
- Demonstrate a team approach within the TDB Operations Team and with professional standards colleagues and other stakeholders
- Have a fair but firm approach when dealing with non-compliance by members

