

# Schedule of delegation

Under the Law Society's General Regulations, the SRA Board is able to carry out its delegated functions through sub-committees and individuals, including SRA staff (regulation 16). The SRA's Delegation Framework provides that the delegation of executive functions (including exercise of regulatory powers) is delegated by the Board to the Executive.

This Schedule of Delegation sets out how those powers are, in turn, delegated to certain staff groups or individuals. It sets out the levels or categories of staff who can make certain regulatory decisions, subject to management controls to make sure that staff are sufficiently trained, experienced and competent to do so. The Chief Executive is able at any time to delegate authority on a case by case basis.

The Schedule does not cover day to day administrative or operational matters which are carried out by the staff as part of their day to day work, such as agreeing the content of forms, issuing of guidance, sending notices (save where referred to in the schedule below), opening new matters and disclosing information. This is also subject to management controls and agreed job descriptions.

Each numbered paragraph contains a function / power followed by an individual or individuals (eg a job title or job role) to whom this has been delegated this to. Some delegations include details of restrictions upon the delegation made. For the key to the terms used in this Schedule see Annex 1 below.

## General

No.	Delegation	Level and restrictions
1	<p>To decide the outcome of a review of:</p> <p>(1) of decisions set out in Annex 1 of the SRA Application Notice, Review and Appeals Rules</p> <p>(2) all other regulatory decisions</p>	<p>(1) Adjudication, Directors and Heads Senior Technical Adviser/Technical Manager in Client Protection</p> <p>(2) Investigation staff, Category I2; Authorisation staff, Category A4; Interventions and Statutory Trust Manager, Cost Recovery Team Manager, Compensation Fund Technical Manager, Team Managers and Senior Advisers (in Client Protection); Head of Ethics Guidance and Guidance Team Managers (in Ethics Guidance)</p>
2	<p>To authorise the disclosure or publication of confidential information in the public interest, and pursuant to legal requirements, to law enforcement agencies, regulators or those who exercise regulatory functions, and to other persons with a legitimate interest in receiving the information, including but not limited to disclosure pursuant to sections 32(4) and 33A(2) of the SA 1974, s98 of the LSA 2007 and under any SRA rules or regulations</p>	<p>Adjudication, Directors and Heads</p> <p>Investigation staff, Category I2</p> <p>Intelligence Officers</p> <p>Authorisation staff, Category A3</p> <p>Legal staff, Category L1</p> <p>Interventions and Statutory Trust Manager, Cost Recovery Team Manager, Compensation Fund Team Managers and Senior Advisers, Director of Client Protection, Technical Manager (in Client Protection)</p>
3	<p>To authorise inspection of a file in proceedings in bankruptcy of a solicitor pursuant to section 83 of the S A 1974</p>	<p>Adjudication, Directors and Heads</p> <p>Investigation staff, Category I2</p>

		Authorisation staff, Category A3
4	To oppose admission to the Roll pursuant to section 3(2) of the Solicitors Act 1974	Adjudication Directors and Heads

## Client Protection – the compensation fund, statutory trusts and indemnity insurance

No.	Delegation	Level and restrictions
5	To make decisions in respect of payment or rejection of claims on the Compensation Fund (up to the value prescribed)	<p><b>No limit:</b> Adjudication panel save if urgent single adjudicator or Executive Director</p> <p><b>Up to £1 million:</b> A single Adjudicator</p> <p><b>Up to £250,000:</b> Director of Client Protection, Technical Manager, Interventions and Statutory Trust Manager, Cost Recovery Team Manager, Compensation Fund Team Managers and Senior Advisers (in Client Protection)</p> <p><b>Up to £25,000:</b> Technical Specialists (in Client Protection)</p> <p><b>Up to £10,000:</b> Complex Caseworkers (in Client Protection)</p>
6	To make decisions in respect of payment or rejection of claims on the Compensation Fund (up to the value prescribed), where the proposed payment is an urgent interim measure to protect the interests of an applicant or potential applicant to the fund	<p><b>No limit:</b> Adjudication, Executive Directors and Director of Client Protection</p> <p><b>Up to £500,000:</b> Interventions and Statutory Trust Manager, Cost Recovery Team Manager, Compensation Fund Team Managers and Senior Advisers (in Client Protection)</p> <p><b>Up to £250,000:</b> Technical Specialists (in Client Protection)</p>

7	To authorise release of funds from the Compensation Fund in an emergency	<p>Adjudication and Executive Directors</p> <p>Director of Client Protection</p> <p>Any two of: Technical Manager, Interventions and Statutory Trust Manager, Cost Recovery Team Manager, Compensation Fund Team Managers and Senior Advisers, (in Client Protection)</p>
8	To give an undertaking on behalf of the Compensation Fund to return an overpayment from a Statutory Trust Account	<p>Interventions and Statutory Trust Manager, Cost Recovery Team Manager, Compensation Fund Team Managers and Senior Advisers, Technical Manager and Director (in Client Protection)</p>
9	To make decisions in respect of payment from the Compensation Fund to a Statutory Trust Account to return an overpayment	<p><b>No limit:</b> Adjudication</p> <p><b>Up to £500,000:</b> Interventions and Statutory Trust Manager, Cost Recovery Team Manager, Compensation Fund Team Managers, Senior Adviser, Technical Manager and Director of Client Protection (in Client Protection)</p> <p><b>Up to £250,000:</b> Technical Specialists (in Client Protection)</p>
10	To make any decision (without limit) in respect of statutory trust money	<p>Adjudication</p> <p>In cases of urgency, any two of: Executive Directors and Director of Client Protection</p>
11	To make any decision to make payments up to the value prescribed in respect of statutory trust money	<p><b>Up to £500,000:</b> Director of Client Protection, Technical Manager, Interventions and Statutory Trust Manager, Senior Financial Investigators, Intervention Project Officers, and Senior Advisers (in Client Protection)</p> <p><b>Up to £100,000;</b> Technical Specialist in Client Protection</p>
12	To pass a resolution under paragraph 6A of Schedule 1 of the S A 1974 or paragraph 3(4) of Schedule 14 of the LSA 2007 to collect costs due to an intervened firm	<p>Any two of: Director of Client Protection, Interventions and Statutory Trust Manager, Technical Manager in Client Protection, Senior Technical Advisor in Client Protection</p>

13	To issue and defend financial or recovery proceedings in a court or tribunal (and to take preliminary steps such as the service of a statutory demand in bankruptcy) on behalf of the SRA or the Compensation Fund	Executive Directors Case working staff, Technical Specialists, Compensation Fund Team Managers Cost Recovery Team Manager, Senior Advisers, Interventions and Statutory Trust Manager, Technical Manager and Director (in Client Protection)
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## Authorisation

No.	Delegation	Level and restrictions
Authorisation – individuals, education and training		

14	To make decisions about an applicant's character and suitability under rule 1.1 of SRA Assessment of Character and Suitability Rules	<p>Adjudication</p> <p>Regulation and Education staff, Category RE1</p> <p>Authorisation staff, Category A1</p>
15	<p>To grant approvals or authorisations under the SRA Authorisation of Individuals Regulations including:</p> <ul style="list-style-type: none"> <li>(1) Determining eligibility for admission as a solicitor</li> <li>(2) Granting applications for recognition of academic or vocational stage completion by equivalent means</li> <li>(3) Recognising, requiring specified steps to be taken, extending periods of training</li> <li>(4) Granting applications for admission to the Roll</li> <li>(5) Granting applications for removal from the Roll</li> <li>(6) Granting applications for Practising Certificates by solicitors</li> <li>(7) Granting applications for registration as a European lawyer</li> <li>(8) Granting applications for registration as a foreign lawyer</li> </ul>	<p>Authorisation staff, Category A1 – all decisions (1) to (8)</p>

16	<p>To refuse, revoke or vary authorisations under the SRA Authorisation of Individuals Regulations including;</p> <ol style="list-style-type: none"> <li>(1) Refusing applications for recognition of academic or vocational stage completion by equivalent means</li> <li>(2) Determining completion of an Apprenticeship</li> <li>(3) Refusing to recognise (all or part of), requiring specified steps to be taken, extending periods of training</li> <li>(4) Refusing applications for admission to the Roll</li> <li>(5) Refusing applications for removal from the Roll</li> <li>(6) Refusing applications for Practising Certificates by solicitors</li> <li>(7) Refusing applications for registration as a European lawyer</li> <li>(8) Refusing applications for registration as a foreign lawyer</li> <li>(9) Imposing conditions on practising certificates or registration</li> <li>(10) Revoking or varying conditions on practising certificates or registration</li> <li>(11) Shortening or dispensing with 28 days' notice under regulation 7.5</li> <li>(12) Revoking a practising certificate or withdrawing registration</li> </ol>	<p>Adjudication</p> <p>Regulation and Education staff, Category RE1</p> <p>Authorisation staff, Category A1</p>
17	<p>To grant approvals or authorisations under the SRA Education, Training and Assessment Provider Regulations including;</p> <ol style="list-style-type: none"> <li>(1) Granting an application for approval or authorisation as a training provider</li> <li>(2) Approving an organisation to provide assessments in High Courts Civil and Criminal Advocacy and to confer a Higher Courts Advocacy Qualification</li> </ol>	<p>Authorisation staff, Category A1</p>

18	<p>To refuse, revoke or vary authorisations under the SRA Education, Training and Assessment Provider Regulations including;</p> <p>(1) refusing an application for approval or authorisation as a training provider</p> <p>(2) Imposing conditions on an authorised training provider</p> <p>(3) Revoking authorisation as a training provider</p> <p>(4) Requiring an authorised training provider to appoint a new training principal</p> <p>(5) Refusing (subject to conditions or otherwise) to approve an organisation to provide assessments in High Courts Civil and Criminal Advocacy and to confer a Higher Courts Advocacy Qualification</p> <p>(6) Revoking an authorised Higher Rights providers approval</p> <p>(7) Making an authorised Higher Rights Providers approval subject to conditions</p>	<p>Adjudication: all decisions (1) - (7)</p> <p>Authorisation staff, Category A1 decisions (1) to (4)</p> <p>Regulation and Education Staff, Category RE1 – decisions (5), (6) and (7)</p>
19	<p>To determine applications for membership of professional accreditation schemes, panels and awards, including the waiving of requirements and to revoke membership of professional accreditation schemes, panels and awards.</p>	<p>Adjudication</p> <p>Regulation and Education staff, Category RE1</p> <p>Authorisation staff, Category A2</p>
20	<p>In respect of the granting of applications for approval of employment under sections 41 or 43 of the Solicitors Act 1974</p> <p>(1) to grant approval unconditionally, or subject to any conditions or requirements which have not been objected to by the person or persons concerned;</p>	<p>Investigation staff, Category I1 and Authorisation staff, Category A1: decision (1)</p>



	(2) to refuse approval, or grant approval with conditions (whether objected to or not)	Adjudication, Senior Authorisation Officers and Authorisation staff, Category A3: decision (2)
21	In respect of an application to terminate a suspended practising certificate:  (1) to terminate the suspension, including subject to conditions which are not objected to by the person concerned  (2) to refuse to terminate the suspension, or to terminate the suspension subject to conditions (whether objected to or not).	Authorisation staff, Category A1: decision (1)  Adjudication, Senior Authorisation Officers and Authorisation staff, Category A3: decision (2)
22	In accordance with the powers under articles 12-14 of the European Communities (Services of Lawyers) Order 1978 to determine whether the person has verified their status to the SRA's satisfaction	Adjudication, Directors and Heads
<b>Authorisation – firms</b>		
23	To grant approvals or authorisations with conditions or otherwise under the SRA Authorisation of Firms Rules including;  (1) Granting and application for authorisation unconditionally or with agreed conditions (2) Granting an application for authorisation with conditions which are objected to (3) Imposing conditions on a body's authorisation (where there is no objection) (4) Imposing conditions on a body's authorisation (where there is objection) (5) Revoking or suspending authorisation on application of the body concerned	Authorisation staff, Category A1: decisions (1) to (14)  Authorisation staff, Category A3: decision (15)

	<ul style="list-style-type: none"> <li>(6) Determining that an authorised body is not required to comply with rule 9.1 of the SRA Authorisation of Firms Rules in respect of managers not involved in (a) to (c) of rule 9.3</li> <li>(7) Extending, revoking or varying an authorised body's terms and conditions</li> <li>(8) Approving a manager, owner, COLP or COFA of an authorised body</li> <li>(9) Approving a manager, owner, COLP or COFA of an authorised body, subject to conditions being imposed on the authorisation of the body (where there is no objection)</li> <li>(10) Approving a restricted interest under Schedule 13 LSA subject to a condition on that approval (where there is no objection)</li> <li>(11) Approval of a manager, owner, COLP or COFA of an authorised body, subject to conditions being imposed on the authorisation of a body (where there is objection)</li> <li>(12) Approval of a restricted interest under Schedule 13 LSA subject to a condition on that approval (where there is objection)</li> <li>(13) Approval of a beneficial owner, officer, or manager of an Independent legal practitioner</li> <li>(14) Recommendation that a trust or company service provider or a beneficial owner, officer or manager of trust or company service provider, is fit and proper to carry out the work of a trust or service company provider</li> <li>(15) Deciding to transfer or substitute authorisation of a body or approval of a manager, owner, COLP or COFA and to determine what application requirements apply</li> </ul>	
24	<p>To refuse applications or authorisations under the SRA Authorisation of Firms Rules including;</p> <ul style="list-style-type: none"> <li>(1) Refusing an application for authorisation</li> </ul>	<p>Authorisation staff category A1: decisions (1) to (6),</p> <p>Adjudication: Authorisation staff category A3: decisions (7), (8), (9)</p>

	<p>(2) Revoking or suspending authorisation on procedural grounds</p> <p>(3) Suspending or revoking authorisation on any grounds</p> <p>(4) Refusing to approve a manager, owner, COLP or COFA of an authorised body</p> <p>(5) Objecting to the holding of a restricted interest in a licensed body</p> <p>(6) Withdrawal of approval of a manager, owner, COLP or COFA of an authorised body.</p> <p>(7) Objecting to the holding of an existing approved restricted interest holder in a licensed body</p> <p>(8) Refusal of approval of a beneficial owner, officer or manager of an independent legal practitioner</p> <p>(9) Recommending that a trust or company service provider, or a beneficial owner, officer or manager or a trust or company service provider is NOT fit and proper to carry out the work of a trust or company service provider</p>	
25	Withholding from publication any or all information subject to publication on the register in the public interest	<p>Adjudication and Executive Directors</p> <p>Authorisation staff, Category A1</p>
26	<p>In respect of determining or modifying the reserved legal activities which a licensed body is authorised to carry on for the purposes of section 85 and 86 of the Legal Services Act 2007 (including upon first application for a licence):</p> <p>(1) to determine or vary such a term of the licence where the determination or variation is not objected to by the person or persons concerned</p>	<p>(1) Investigation, Category I1 and Authorisation staff, Category A1</p> <p>(2) Adjudication and Executive Directors, Senior Authorisation Officers and Authorisation staff, Category A3</p>

	(2) to determine or vary such a term of the licence whether objected to or not	In respect of the exercise of these powers, all persons listed in (1) and (2) above may give notice of the same or decide to dispense with notice requirements
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### Authorisation – other

27	To require an accountant's report to be obtained or delivered in accordance with rule 12.4 of the SRA Accounts Rules	Authorisation staff Category A1
28	To make orders and exercise associated powers in relation to modifying the application of licensing rules for special bodies arising from sections 106 and 107 of the Legal Services Act 2007	Adjudication Executive Directors

## Investigation

No.	Delegation	Level and restrictions
29	To authorise an on-site inspection	Adjudication Directors and Heads Investigation staff, Category I2
30	To decide that it would not be in the public interest to notify the relevant person or their employer of an investigation into an allegation	Investigation staff, Category I2, I3

31	To issue letters of advice or a warning regarding future conduct or behaviour under rule 2.4 of the SRA Regulatory and Disciplinary Procedure Rules	<p>Adjudication, Directors and Heads</p> <p>Investigation staff, Category I2</p> <p>Legal staff, Category L1</p>
32	To dispense with the giving of notice to the relevant person under rule 2.5 of the SRA Regulatory and Disciplinary Procedure Rules or to vary the procedures in accordance with rule 8. 2 in the interests of justice	<p>Adjudication</p> <p>Investigation staff, Category I2</p> <p>Legal staff, Category L2</p>
33	To decide to suspend a practising certificate	<p>Adjudication</p> <p>Investigation Staff Category I3</p> <p>Legal staff, Category L3</p>
34	To give any notices required for the purposes of Schedule 14 of the LSA 2007 (including, for the avoidance of doubt, paragraphs 1(4), 3(5), 8 and 10) and Schedule 1 of the SA 1974 (including, for the avoidance of doubt, paragraphs 6 and 9) which concern intervention powers	<p>Adjudication</p> <p>Executive Directors</p> <p>Director of Client Protection, Technical Manager, Interventions and Statutory Trust Manager and Senior Advisers (in Client Protection)</p> <p>Investigation Staff, Category I3</p> <p>Legal staff, Category L3</p>

35	To disqualify an accountant from making any accountant's reports for the purposes of the Accounts Rules	Adjudication Investigation staff, Category I3
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## Adjudication

No.	Delegation	Level and restrictions
36	Decide to exercise powers of intervention (including under section 35 and Schedule 1 of the SA 1974, Schedule 2 of the AJA1985, section 102 and Schedule 14 to the LSA 2007 and any provision with similar effect.)	Adjudication panel unless the intervention  (1) is due to severe and imminent risk to the public; or  (2) into the closed files and any residual money forming the remnants of a practice  in which case provided the Chief Executive, an Executive Director or a Director decides that the decision can be made by a single adjudicator
37	To:  (1) give a written rebuke (2) fine (3) make a decision to publish (or not) a regulatory decision or to publish at later date (4) disqualify a person (5) make an order under section 43(2) of the Solicitors Act 1974	Adjudication: decisions (1) to (7)  Authorisation staff category A1: decisions (3) in so far as relates to publication of conditions affecting a practising certificate, recognition, registration, or approval

	<p>(6) impose conditions, interim conditions or other controls upon practising certificates, registration or any other form of authorisation</p> <p>(7) direct payment of costs</p>	
38	To decide that a disqualification or order made by the SRA should cease to be in force in accordance with rule 7.2 SRA Regulatory and Disciplinary Procedure Rules	<p>Adjudication</p> <p>Authorisation staff, category L4</p>
39	To appoint the membership of a Panel of Adjudicators Sub Committee and to designate the Chair	<p>Adjudication Support Officer</p> <p>Chief Adjudicator, or in the absence of the Chief Adjudicator, a single Adjudicator</p>

## Legal and Enforcement

No.	Delegation	Level and restrictions
40	<p>To authorise disciplinary proceedings and any other proceedings before the Solicitors Disciplinary Tribunal, and to authorise the addition of further allegations</p> <p>To authorise, issue and defend any proceedings or proposed proceedings in a court or tribunal.</p> <p>For the avoidance of doubt, the above includes the power to issue a restriction notice for the purposes of Schedule 13 of the Legal Services Act 2007 and to</p>	<p>Adjudication</p> <p>Legal staff, Category L1</p>

	<p>make any application to the High Court under Part 5 of Schedule 13 of that Act or Schedule 14 of that Act and to give any associated notices.</p> <p>To make any decision related to proceedings which they are authorised to conduct including, for the avoidance of doubt, publication (or not) or other disclosure of a referral to the Solicitors Disciplinary Tribunal and/or the basis of such a referral</p>	
41	To authorise a Statement of Agreed Facts, Admissions and Outcome	Legal staff, Category L3
42	To authorise prosecution of offences under the SA 1974, the AJA 1985, the CLSA 1990, and the LSA 2007	Legal staff, Category L2
43	<p>To decide to give notice pursuant to sections 44B of the S A 1974 and any equivalent notice, such as paragraph 14 of Schedule 2 to the AJA 1985, and to exercise the related powers pursuant to those provisions</p> <p>To decide to give notice pursuant to section 93 of the LSA 2007 and to exercise the related powers pursuant to those provisions</p> <p>To decide to give notice under regulation 66 of the Money Laundering, Terrorist Financing and Transfer of Funds (Information on the Payer) Regulations 2017</p>	<p>Adjudication</p> <p>Investigation staff, Category I2</p> <p>Legal staff, Category L1</p> <p>Technical Advisers in Authorisation</p> <p>Director of Client Protection, Technical Manager in Client Protection, Interventions and Statutory Trust Manager</p>
44	<p>To decide to give notice pursuant to sections 44BA of the SA 1974 and any equivalent notice for the purposes of paragraph 14 of Schedule 2 to the AJA1985, and to exercise the related powers pursuant to those provisions</p> <p>To authorise an application to court pursuant to section 44BB of the S A1974 or section 94 of the L S A 2007, and to exercise the related powers pursuant to those provisions</p>	<p>Legal staff, Category L2</p> <p>Investigation staff, Category I2 in relation to a notice under section 44BA and equivalent notices</p> <p>Director of Client Protection, Technical Manager in Client Protection, Interventions and Statutory Trust Manager</p>



45	<p>To authorise a regulatory settlement agreement including (but not limited) to:</p> <ul style="list-style-type: none"> <li>• give a written rebuke;</li> <li>• direct payment of a penalty;</li> <li>• make a decision to publish (or not) a regulatory decision;</li> <li>• disqualify a person;</li> <li>• bring a disqualification to an end;</li> <li>• make an order under section 43(2) of the SA 1974:</li> <li>• imposing conditions, interim conditions or other controls upon practising certificates, registration or any other form of authorisation;</li> <li>• issue advice or a warning;</li> <li>• make an application to the SDT;</li> <li>• suspend, or extend the extension of, a practising certificate under section 13B of the SA 1974;</li> <li>• direct payment of costs</li> </ul>	<p>Adjudication and Executive Directors</p> <p>Heads of Legal</p> <p>Director of Legal and Enforcement</p> <p>Director of Investigation &amp; Supervision</p> <p>Principal Legal Advisers</p> <p>Any two of: Technical Advisers in Authorisation, Director of Authorisation, Heads of Unit (in Authorisation); Head of Investigation and Team Leaders in Investigation</p>
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## Standards

No.	Delegation	Level and restrictions
46	To decide upon applications for waivers of requirements of the SRA Standards and Regulations	Adjudication

		<p>Directors</p> <p>Head of Ethics Guidance, Ethics Advisers</p> <p>Guidance Team Managers</p> <p>Authorisation staff, Category A2</p> <p>Regulation and Education staff, Category RE1</p>
47	To deal with applications for authority to withdraw money from client account	<p>Adjudication</p> <p>Directors</p> <p>Ethics Advisers</p> <p>Head of Ethics Guidance</p> <p>Guidance Team Managers</p>
48	To approve foreign legal professions for the purposes of section 89 of the CLSA 1990	<p>Executive Directors</p>
49	<p>To exercise all powers and make all decisions (excluding waivers and the setting of fees) relating to course providers offering the academic and vocational stages of training under the SRA Education, Training and Assessment Provider Regulations</p> <p>To deal with all matters relating to assessment organisations and / or providers of post-qualification training under the SRA Authorisation of Individuals Regulations and the SRA Education Training and Assessment Provider Regulations (excluding waivers and the setting of fees).</p>	<p>Adjudication</p> <p>Regulation and Education staff Category RE1</p>

# Annex 1

## Notes

1. references to standards, regulations or statutory provisions includes any subsequently amended versions from time to time in force
2. references to a job title or role includes individuals undertaking the same or equivalent role in the future under a different title
3. references to a directorate, function or unit includes a directorate, function or unit fulfilling the same or equivalent role in the future under a different title
4. 'Adjudication' means an Adjudicator, an adjudication panel or the Chief Adjudicator
5. 'Director(s)' includes all Directors, Executive Directors and the Chief Executive of the SRA
6. 'Heads' includes all persons described as 'Head' of a function in their job title
7. 'Licensed body' includes anybody applying to become a licensed body
8. 'Recognised body' includes a legal services body and anybody applying to become a recognised body
9. 'Investigation ' includes Supervision, Forensic Investigations, Assessment Team and Fraud and Confidential Intelligence Bureau.
10. 'Technical Adviser(s)' includes Senior Technical Advisers, Senior Authorisation Advisers and any individuals undertaking the same or equivalent role in the future under a different title
11. references to the 'SA 1974' means the Solicitors Act 1974, 'CLSA 1990' means the Courts and Legal Services Act 1990, 'AJA 1985' means the Administration of Justice Act 1985 and 'LSA 2007' means the Legal Services Act 2007 or subsequently amended versions
12. Where a delegation is made to a staff category, the delegation is made to the individuals set out in the table below:

Staff Category	Description
A1	Authorisation Officers Level 1, Authorisation Officers Level 2, Authorisation Officers Level 3, Senior Authorisation Officers, Team Leaders, Heads of Unit, Technical Advisers, and Director of Authorisation (in Authorisation Directorate)

A2	Authorisation Officers Level 2 and Level 3, Senior Authorisation Officers, Team Leaders, Heads of Unit, Technical Advisers, and Director (in Authorisation Directorate)
A3	Team Leaders, Heads of Unit, Technical Advisers, and Director (in Authorisation Directorate)
A4	Heads of Unit, Technical Advisers, and Director (in Authorisation Directorate)
RE1	Policy Managers and Director (in Regulation and Education)
L1	Legal Advisers, Senior Legal Advisers, Senior Legal Consultant, Case Managers, Principal Legal Advisers, Head of Legal Policy and Advice, Head of Risk and Compliance, Director of Legal and Enforcement, Chief Adjudicator, Executive Directors
L2	Principal Legal Advisers, Head of Legal Policy and Advice, Director of Legal and Enforcement and Chief Adjudicator, Executive Directors
L3	Principal Legal Advisers, Head of Legal Policy and Advice, Director of Legal and Enforcement and Executive Directors (in General Counsel)
I1	Regulatory Support Officers, Investigation Paralegals, Risk Assessment Officers, Investigation Officers, Intelligence Officers, Forensic Investigation Officers, Investigation Quality Assurance Officer, Investigation Complaints Officer, Team Leaders, Senior Legal & Technical Adviser, Investigation Knowledge and Development Manager, Head of Forensic Investigations and Intelligence, Head of Investigations and Director of Investigation and Supervision
I2	Team Leaders, Senior Legal & Technical Adviser, Investigation Knowledge and Development Manager, Head of Forensic Investigations and Intelligence, Head of Investigations and Director of Investigation and Supervision
I3	Head of Forensic Investigations and Intelligence, Head of Investigations and Director of Investigation and Supervision