

Convener and Tribunal Secretary of the FRC Tribunal Panels – job description

The FRC Tribunal and Appeal Panel (the “**Tribunal Panels**”) hear public interest disciplinary matters involving UK actuaries, accountants and audit firms which have been brought by the FRC under either the Accountancy Scheme, Actuarial Scheme (the “**Schemes**”) or the Audit Enforcement Procedure (the “**AEP**”) and appeals under the Auditor Regulatory Sanctions Procedure (for local authority audits) and the PIE Auditor Registration Regulations.

The FRC’s Conduct Committee is now looking to appoint a new Convener and Tribunal Secretary.

Person specification

The Conduct Committee invites applications from individuals or legal firms who have:

1. Experience and understanding of judicial work, particularly within a regulatory or disciplinary environment (therefore the role may suit a senior lawyer or someone with a strong legal background).
2. Highly competent legal administrative skills.
3. A proficiency in coordinating groups of people adeptly and efficiently.
4. An understanding of recruitment and appointment processes.
5. An interest in promoting the public interest and protecting public confidence in the actuarial and accountancy professions.
6. Not been an employee of an audit firm, an accountancy or actuarial professional body or the FRC or its subsidiaries within the last three years.

The role of the Convener and Tribunal Secretary

The role of the Convener and Tribunal Secretary involves:

1. Appointing a Tribunal or Appeal Tribunal from members of the Tribunal Panel, determining its size and composition and having regard to the matters to be considered by the Tribunal or Appeal Tribunal and the availability, experience, expertise and potential conflicts of interests of the Tribunal Panel members.
2. Appointing replacement members to an ongoing Tribunal, Joint Tribunal or Appeal Tribunal, should this be required.

3. Appointing legal chair members of the Tribunal Panel as Independent Reviewers to consider Proposed Settlement Agreements under the Schemes and Proposed Decision Notices or Settlement Decision Notices under the AEP.
4. Appointing legal chair members to consider applications for interim orders or leave to appeal.
5. Ensuring the timely dissemination of notifications and information to the members of a Tribunal, Joint Tribunal or Appeal Tribunal members, and effective communications between the members and the represented parties.
6. Arranging material to be provided to members of a Tribunal, Joint Tribunal or Appeal Tribunal in an agreed format (normally electronic bundles) and within an agreed timeframe.
7. Providing high-level, quality administrative support and advice to a Tribunal, Joint Tribunal or Appeal Tribunal, particularly to the appointed legal chair.
8. Assisting in the organisation of training for members of the Tribunal Panel.

Terms of appointment

Expected time commitment

Candidates/firms will need to be prepared to devote sufficient time and resources to the role of Convener. However, the anticipated workload of the Convener will be approximately 5-10 days per annum.

Fees and expenses

The Convener will be paid the agreed hourly rate for all work billed. In addition, the reasonable expenses incurred in performing the duties of the Convener will be reimbursed. Conveners are asked to submit a claim form to the FRC detailing the number of hours completed and evidence of any expenses incurred.

Length of appointment terms

The initial term of appointment will be for three years. Subject to continuing availability, the Convener may be considered for a further three-year period.

The Convener may be removed if the Conduct Committee considers that the behaviour, actions or conflicts of interest of the Convener warrant the removal.