

**SCOTTISH LEGAL COMPLAINT COMMISSION
CASE INVESTIGATOR JOB DESCRIPTION**



Reports to:

Case Investigations Manager (CIM) and/or Clerking Manager (CM)

Job purpose:

Handle a portfolio of complaints made against legal practitioners in line with the Legal Profession and Legal Aid (Scotland) Act 2007, the Legal Services (Scotland) Act 2010, the SLCC's Rules, policies, procedures and quality standards from eligibility through to the investigation stage of the complaints process.

Structure:

Part of the SLCC complaints process that is managed by the Investigation Management Team (IMT).

Experience/Qualifications:

Proven experience in a regulatory, professional services or client services environment. Ideally with an understanding of the legal environment. Educated to degree level or equivalent relevant experience.

AREA OF WORK	COMMITMENTS/ RESPONSIBILITIES	DUTIES
ROLE OVERVIEW	To assess and investigate a portfolio of complaints about lawyers in a timely and proportionate manner, following our defined complaints process and quality standards	<ul style="list-style-type: none"> - Make decisions on whether complaints received are service or conduct and if they are eligible for further investigation - Investigate and make recommendations on complaints via an investigation report or investigation letter - Make recommendation for determination; creating paperwork for Remote Determination Committees, as appropriate. - All decisions and recommendations made in line with the Legal Profession and Legal Aid (Scotland) Act 2007, the Legal Services (Scotland) Act 2010, the SLCC's Rules, policies, procedures and quality standards from eligibility through to the investigation stage of process - Where appropriate, try to achieve early informal resolution - Meet the production targets set by the SLCC and your line manager - Provide a high standard of customer service to all stakeholders, internal and external - Working flexibly to the current needs of the SLCC and undertaking any reasonable work or tasks as required - Communicating with Oversight in regard to trends and patterns identified

AREA OF WORK	COMMITMENTS/ RESPONSIBILITIES	DUTIES
QUALITY ASSURANCE	Delivering high quality customer service to all stakeholders, internal and external	<ul style="list-style-type: none"> - Meet the quality targets set by your line manager in your Objectives - Accurately record required information for individual complaints and for management purposes - Ensure all work is accurate, in plain English and proportionate - Identifying and promoting good practice and contributing to continuous improvement. - Peer reviewing and quality assuring summaries of complaint, eligibility reports and Investigation Reports to ensure they are accurate, well-reasoned and clearly written. - Make recommendation for determination, creating paperwork for Remote Determination, as appropriate. - Where appropriate promote early resolution through initial view letters. - Ensuring knowledge and application of up to date legislation, practice rules and regulations. - Ensuring knowledge and application of SLCC policies and procedure to ensure compliance. - Ensuring knowledge and compliance with the Data Protection Act 1998. - Maintaining confidentiality and dealing appropriately with sensitive information.
COMMUNICATION	Representing the SLCC in a confident and professional manner both internally and externally and at all times.	<ul style="list-style-type: none"> - Effectively communicating with parties to complaints both verbally and in writing to ensure that their expectations are effectively managed, that they are kept updated as to progress and that the SLCC's understanding of the complaint and the parties' respective positions is correct. - Preparing written eligibility and investigation reports and presenting information, findings and recommendations in a well-structured, accurate, clear and concise manner. - Providing clarification to the SLCC Board when requested, to assist their decision-making. - Treating all service users with respect and recognising when communicating methods and styles need to be adapted to suit the situation and the individual. Being aware of appropriate communication styles and applying them, such as active listening, summarising and questioning. - Ensuring that communications with service users are professional, calm and constructive. - Liaising with third parties and external bodies where appropriate to obtain evidence and information necessary to effectively assess complaints. - Using appropriate IT and other communication tools effectively.

AREA OF WORK	COMMITMENTS/ RESPONSIBILITIES	DUTIES
WORKING TOGETHER	Contributing to the effectiveness and success of the SLCC.	<ul style="list-style-type: none"> - Ensuring that all colleagues of the SLCC are treated with respect. - Working flexibly as part of the SLCC to ensure that all tasks are completed in a timely manner. - Working with, and building, strong working relationships with colleagues at all levels. - Working with colleagues to meet operational commitments and targets. - Promoting equality of opportunity and diversity in all aspects of SLCC work. - Carrying out duties and project work in relation to other areas of the SLCC's function from time to time, as required. - Contributing constructively to meetings to assist in ensuring best practice across the organisation and continuous improvement of the performance of the organisation
DEVELOPMENT	<p>Managing own performance and developing and supporting the development of others. Acting as a supportive member of the SLCC complaints process.</p> <p>Taking responsibility and ownership for own development.</p>	<ul style="list-style-type: none"> - Working with your line manager, agree and meet individual objectives and performance standards. - Participating in regular reviews as determined by the SLCC appraisal policy and your line manager . - Participating in the formal appraisal process which includes contributing to setting of own objectives and completing a Personal Development Plan (PDP). - Taking responsibility for personal and professional development, which includes identifying training needs and attending relevant training and development programmes. - Providing guidance, support and coaching to colleagues as appropriate and peer reviewing colleagues' work in a constructive manner. - Sharing knowledge, good practice and experience formally and informally. - Contributing to ongoing training at personal and organisational levels. - <u>Using research skills to broaden and deepen legal, regulation and customer service</u>
PORTFOLIO MANAGEMENT RESOLUTION FOCUSSED ASSESSING AND INVESTIGATING COMPLAINTS	<p>Managing and, where appropriate trying to resolve, a portfolio of complaint cases in an impartial and consistent manner in line with the SLCC's policies and procedures.</p> <p>Assessing the eligibility of complaints against the criteria in the 2007 Act and professional standards.</p> <p>Completing proportionate and objective investigations into a portfolio of service complaints including preparing Investigation Reports recommending whether the complaint should be upheld and proposing a settlement.</p>	<ul style="list-style-type: none"> - Make decisions on whether complaints received are service or conduct and if they are eligible for further investigation - Investigate and make recommendations on complaints via an investigation report or investigation letter - Where appropriate, try to achieve early informal resolution - All work should be concise, accurate and proportionate

AREA OF WORK	COMMITMENTS/ RESPONSIBILITIES	DUTIES
WIDER PERSPECTIVE	Contribute to the achievement of the SLCC's strategic objective and operational plan.	<ul style="list-style-type: none"> - To contribute to continuous improvement of the SLCC as a whole, through personal learning and development, and contributing to process improvement projects - Having an awareness of the SLCC's values, behaviours and operational objectives and understanding how individual performance can impact their achievement, using them to inform personal actions. - Taking responsibility for ad-hoc initiatives and tasks identified by the SLCC and as agreed through your line manager.. - Contributing to the achievement of the SLCC strategic objectives by achieving individual objectives. - Contributing to and adapting positively to change. - Contributing to the review and development of the SLCC's case handling policies and processes. - Working flexibly within the complaints process to meet the current needs of the business.