

Candidate Brief



Intellectual Property Regulation Board Compliance and Authorisations Officer

Y0802

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Managing Director
Sarah Thewlis
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Welcome from Fran Gillon – Chief Executive

Dear Candidate,

I am delighted that you are interested in applying to be the Compliance and Authorisations Officer at IPReg. I hope you find the information within this candidate pack useful, there is also information about us on our website: <https://ipreg.org.uk/>.

Our website includes our [Business Plan](#); this sets out our strategic priorities and the work we plan to do. We have recently [consulted](#) on our Business Plan for 2023/24.

The Executive Team is small – this post will be one of 7 employees most of whom work part time. This is a new role. It combines the important regulatory activities of authorising firms to be admitted to the registers with ensuring that those on the registers comply with IPReg's Code of Conduct and other regulations. It is a full-time permanent role with some attendance at the IPReg office in central London each week. You can find full details later on in this pack.

I hope you do decide to put yourself forward for the role.

For a confidential conversation with Thewlis Graham Associates, who are supporting us with this recruitment, please contact Sarah Thewlis, Managing Director at: applications@thewlisgraham.com. Sarah will be happy to discuss this opportunity with you.

Yours faithfully

Fran Gillon
Chief Executive

2. About the Intellectual Property Regulation Board

The Legal Services Act 2007 (LSA) requires those involved in the regulation of legal services to separate the representative activities of their professional bodies from their regulatory functions.

The Chartered Institute of Patent Attorneys (CIPA) and the Chartered Institute of Trade Mark Attorneys (CITMA) are the representative bodies of patent attorneys and trade mark attorneys respectively. They are also Approved Regulators under the LSA. In order to separate their representative functions from their regulatory functions, CIPA and CITMA have established IPReg as the overarching regulatory joint board and have delegated their respective regulatory functions to it.

IPReg regulates 3,386 individual attorneys (of whom around 70% are patent attorneys, 23% are trade mark attorneys and 7% are on both registers). We also regulate around 255 firms. The Executive Team is small – this post will be one of 7 people most of whom work part time.

Some of the matters that we are responsible for include:

- Setting and maintaining Rules of Conduct;
- Setting the education and training requirements for qualification as a patent attorney and as a trade mark attorney;
- Setting the requirements for entry to the registers for individuals and firms;
- Maintaining the registers of patent attorneys and trade mark attorneys;
- Setting the requirements for continuing professional development in order that patent attorneys' and trade mark attorneys' knowledge, skills and expertise are maintained at a high level;
- Investigating complaints of misconduct and, where appropriate, taking disciplinary or other action.

Strategy and Business Plan

Our [Business Plan](#) our Business Plan sets out our strategic priorities and the work we plan to do over the next two years. We are in the process of changing our regulatory arrangements following extensive review and consultation and hope to implement the new arrangements no later than Spring 2023. The Compliance and Authorisations Officer will be expected to contribute to this implementation in their areas of expertise.

3. Job Description and Person Specification of the Compliance and Authorisations Officer

Key responsibilities

NB this list is non-exhaustive, and the role holder is expected to be flexible in terms of activities undertaken and to assist in other IPReg areas of work as required. The division of work between compliance issues and authorisations varies over the course of the year but the overall time split in this role is likely to be about 50:50. By way of example, IPReg considers around 15 - 20 applications from firms each year and receives around 15 – 20 complaints a year of which around 3 - 4 proceed to a full investigation and 1 – 2 to a full hearing.

1. Identifying and monitoring compliance issues
 - a. Identify compliance issues with firms or regulated individuals from a range of sources (e.g., general enquiries through the website, analysis of applications, media reports, websites, etc.);
 - b. Take such action as may be required to deal with the compliance issue, with reference to the Head of Registration (HoR) or CEO as appropriate.
2. Investigations
 - a. Investigating reports about misconduct and regulatory breaches to achieve appropriate and timely outcomes by:
 - i. Desk-based investigation and site visits/witness interviews where appropriate, to investigate misconduct and regulatory concerns;
 - ii. Collating and analysing complex and technical information to take fair, proportionate case decisions using sound judgment based on IPReg's policies and processes;
 - iii. Writing reports and documentation to the highest standards of quality, which are evidence-based and demonstrate sound analysis, able to stand up to scrutiny throughout the disciplinary process;
 - iv. Instructing and working with external parties such as barristers, witnesses and expert witnesses.
3. Authorisations
 - i. Assess applications for admission to the registers from firms against statutory requirements in the Legal Services Act 2007 and IPReg's policies;

- ii. Assess applications for authorisation as Head of Legal Practice, Head of Finance and Administration, owner and manager of licensed entities;
- iii. Liaise with applicant (and potential applicant) firms about any queries arising from the admissions process or their application, taking advice from the HoR and CEO as appropriate;
- iv. Make recommendations to the CEO with supporting evidence.

4. Practice development support and guidance

- i. Provide practice-related support and guidance to the Board, the CEO, regulated firms and individuals and other stakeholders as required;
- ii. Respond to enquiries made through the online contact function, telephone or email within IPReg's KPI targets.

5. Other duties

- i. Work together with other members of the IPReg team to cover any additional duties or tasks as may be reasonably required, including participating in assurance and thematic reviews;
- ii. Take the lead in or assist with any policy-related matters as agreed with or directed by the HoR or CEO;
- iii. Take minutes of IPReg Board meetings on a rota basis and write up comprehensive, accurate minutes for consideration by the Board (training will be provided).

Essential competencies

- Working within one or more regulatory frameworks and understanding of best practice in regulation.
- Experience of identifying and resolving breaches of statutory and regulatory requirements.
- Experience leading complex investigations and critically analysing information to make recommendations demonstrating risk-based judgment.
- Experience of licensing/admissions processes (or similar activity) within a regulatory

framework and to challenging deadlines.

- Good understanding of UK corporate law and a range of company structures.
- Good inter-personal and influencing skills – to engage with a wide range of applicants and other stakeholders.
- Excellent communication skills, both orally and in writing, including drafting complex documents to a high standard.
- Proven ability to perform to high standards with minimal supervision.
- Highly organised and able to prioritise and progress a range of cases effectively.
- Willingness to learn and develop, taking on new responsibilities and adopting a flexible, pragmatic approach to work.

Desirable competencies

- Knowledge of the legal services regulatory framework.
- Experience of working in an environment where priorities may change at short notice.
- Experience of writing and presenting Board papers.
- Experience of minuting Board meetings and writing Board minutes.

4. Other information

Diversity and equality of opportunity

We welcome applications for these posts from all sections of the community and from people with diverse experience and backgrounds.

IPReg is committed to the principle of appointments on merit with independent assessments, openness and transparency of process and to providing equal opportunities for all, irrespective of age, disability, gender reassignment, marriage and civil partnership, pregnancy and maternity, race, religion or belief, sex, and sexual orientation.

Conflict of Interests

You should note particularly the requirement to declare any conflict of interest that arise in the course of IPReg business and the need to declare any relevant business interests, positions of authority or other connections with organisations relevant to the business of IPReg.

5. Salary, location and Benefits

Salary: £60k per annum

Location: Some attendance at the IPReg office in central London will be required – probably 2 days a week. Although flexible working may be possible, in order to ensure appropriate levels of cover, the role holder will be expected to work (not necessarily in the office) on Friday each week.

Benefits:

- A full-time employee is entitled to 33 days annual leave (this comprises 25 days paid holiday a year and 8 bank holidays). If a bank holiday falls on a day the employee normally works, they must take that day as annual leave unless otherwise agreed with the Chief Executive. We close the office from the end of the last working day before Christmas until the first working day of the New Year without the need to use any annual leave allowance;
- Life Insurance - 4 x basic salary;
- Pension - IPReg has set up a [Nest](#) workplace pension scheme and pays the statutory minimum contribution for qualifying earnings (between £6,240 and £50,270);¹
- Company Sick Pay - after 12 months continuous service: full basic salary for up to 6 weeks' absence followed by 75% of the basic salary for up to a further 7 weeks' absence in any rolling 12-month period. When this entitlement is exhausted, the staff member will not qualify for Company Sick Pay until they have returned to work and worked a total of 26 weeks. For staff on permanent contracts, there is an income protection plan which pays up to 75% of the basic salary for 2 years after they have been off sick for 13 weeks as a result of the same illness;
- Health cash plan - provides cashback on essential healthcare and access to health and wellbeing services.

¹ <https://www.nestpensions.org.uk/schemeweb/helpcentre/contributions/calculating-contributions/calculate-contributions-using-qualifying-earnings.html>

6. Timeline, Application Process and How to Apply

Timeline

Dates	Activity
20 October 4pm	Applications close
26 and 27 October	Thewlis Graham consultants interviewing of interested candidates - online
w/c 14 November	IPReg Interviews

Application Process

Thewlis Graham Associates will acknowledge all applications. These will be assessed against the essential and desirable competencies and the people who best meet these will be invited for interview with Thewlis Graham Associates. These will be held online.

Those candidates not invited to interview will be advised by email.

Longlisted candidates will also be advised by email. After a consultation between the IPReg and Thewlis Graham Associates, a shortlist will be drawn up and shortlisted candidates invited for interview with the recruitment panel. These will be online also. All candidates will be informed of the outcome following this date.

How to apply

To apply for this role, please email in word format to applications@thewlisgraham.com the following documents Y0802:

1. A comprehensive CV
2. A covering letter containing:
 - A covering letter which fully addresses your suitability for the role and your motivation for applying.
 - The name, job title, organisation, email address and mobile number of two professional referees. (Please note referees will not be approached without your prior permission.)
3. We also ask that you complete a diversity and inclusion monitoring form, the link for which is in the next section.

Please ensure that you include your mobile phone number and email address in your application. Do not hesitate to contact us at: applications@thewlisgraham.com if you have any queries at all.

7. Diversity and Inclusion Monitoring

Diversity and Inclusion Monitoring is independent of the recruitment process but please do complete your completed form as Thewlis Graham Associates is committed to monitoring and analysing diversity and inclusion information so that we can ensure that our processes are fair, transparent, promote equality of opportunity for all, and do not have an adverse impact on any particular group.

Please click [here](#) to complete this survey:

If you have any problems with this, please contact Tracey on: tct@thewlisgraham.com.

Any information provided on this form will be treated as strictly confidential and will be used for statistical purposes only. It will not be seen by anybody directly involved in the selection process. No information will be published or used in any way which allows any individual to be identified.

Thank you

8. Advert

IPReg Board – Compliance and Authorisations Officer

Location: UK, London and flexible

Salary: £60k per annum, permanent, full-time

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Some of the Key responsibilities:

- Identifying and monitoring compliance issues: identify compliance issues with firms or regulated individuals from a range of sources. Take such action as may be required to deal with the compliance issue, with reference to the Head of Registration or CEO as appropriate.
- Investigations: investigating reports about misconduct and regulatory breaches to achieve appropriate and timely outcomes by desk-based investigation and site visits/witness interviews where appropriate.
- Authorisations: assess applications for admission to the registers from firms against statutory requirements in the Legal Services Act 2007 and IPReg's policies.
- Practice development support and guidance: provide practice-related support and guidance to the Board, the CEO, regulated firms and individuals and other stakeholder as required.

Some of the Essential Competencies we are looking for:

- Working within one or more regulatory frameworks and understanding of best practice in regulation.
- Experience of identifying and resolving breaches of statutory and regulatory requirements.
- Experience leading complex investigations and critically analysing information to make recommendations demonstrating risk-based judgment.
- Experience of licensing/admissions processes (or similar activity) within a regulatory framework and to challenging deadlines.

Please apply by visiting www.thewlisgraham.com/assignment-briefings and following the instructions in the candidate brief by 20 October 4pm to: Sarah Thewlis of Thewlis Graham Associates quoting reference Y0802. For a confidential conversation with Sarah Thewlis or for any other information please email applications@thewlisgraham.com

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www.thewlisgraham.com

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