

## JOB PROFILE

# archers law.

## RISK AND COMPLIANCE MANAGER – PART TIME

### CENTRAL SERVICES

<b>Primary Purpose</b>	<p>Reporting to the Managing Partner to ensure the firm's regulatory compliance generally, including supporting the requirements of the COLP and COFA role.</p> <p>To ensure best practice in the firm's compliance with the Law Society and the SRA regulations and rules of professional code of conduct, performing independent file audits contributing to the supervision required by the firm's LEXCEL accreditation and other quality marks e.g. CQS, and identifying corrective actions required.</p> <p>To lead and manage the firm's complaints procedure, alongside Unit Heads taking responsibility for complaints personally and being the first point of contact for Legal Ombudsman referrals.</p> <p>Responsibility for dealing with PII claims notifications direct with insurers, following required procedures and managing the firm's PII renewal process.</p> <p>Serving as a confidential point of contact for all staff to seek clarification on issues of compliance and risk.</p>
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<b>Academic or Other Relevant Experience</b>	<p>First Degree.</p> <p>Previous experience (circa four years) of managing risk and compliance processes within a UK law firm including a detailed knowledge of the SRA, the regulatory framework and associated rules &amp; legislation.</p> <p><u>Desirable or working towards:</u> To be, or willing to be, a member of the Legal Compliance Association</p>
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### Job Requirements

<b>Skills and competencies</b>	<p>Good working knowledge of SRA regulatory framework, LeO scheme rules, data protection regulation and AML requirements.</p> <p>Good working knowledge of PII renewal procedures and claims notification requirements.</p> <p>A confident yet diplomatic manner - someone adept at explaining compliance requirements to individuals/groups, tactfully challenging the status quo.</p> <p>Excellent persuasion and reasoning skills, and the ability to recognise when</p>
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	<p>to escalate an issue.</p> <p>Ability to adhere to and apply strict rules of confidentiality.</p> <p>Makes commercial business decisions and is resilient in the face of resistance.</p> <p>Experience of preparing/delivering training.</p> <p>Must be able to multi-task and keep calm under pressure.</p> <p>Flexibility, ability to learn and teach new systems/equipment.</p> <p>Judgement to balance commercial and compliance risks to achieve positive outcomes.</p> <p>Ability to perform duties independently without direct supervision.</p> <p>Excellent IT skills.</p> <p>Excellent communication and leadership skills.</p>
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<p><b>Tasks and responsibilities</b></p>	<p>This does not cover every responsibility but provides an overview of the main areas:</p> <p>To ensure best practice and compliance as required by the SRA, The Law Society, LeO, PII insurers and any other Regulatory body relevant to the management of the firm.</p> <p>Complete and submit the SRA annual report for practising certificates, ensuring the necessary compliance requirements and finance are in place before submission.</p> <p>Ensure familiarity with, and manage, maintain and update as necessary and required the Office Procedures Manual and it's appendices keeping the risk compliance framework adhered to.</p> <p>Review and draft compliance policies and procedures in line with Regulatory and upcoming requirements including terms of business.</p> <p>Ensure file planning actions are completed by Units in a timely manner using the proclaim workflow stages including:</p> <ul style="list-style-type: none"> <li>• New business enquiries</li> <li>• Inceptions</li> <li>• Initial risk assessment inc AML</li> <li>• File assessments/reviews</li> <li>• File closure/archiving</li> </ul> <p>Ensure COLP, COFA, DP, AML and undertakings proclaim registers are up to date and actioned in accordance with procedure.</p> <p>Provide input into business and strategic decisions from a compliance perspective.</p> <p>Proactive in providing risk and compliance support to internal projects, such as the development of new IT systems, to ensure that regulatory responsibilities are met.</p> <p>Undertake documented compliance audits throughout the firm. Preparation of a monthly report to Operations and Strategic Board about findings of compliance audits with recommendations to assist the firm managing risk and improve procedures.</p> <p>To represent the firm as the Data Protection Officer (DPO) and Complaints Manager</p> <p><u>Complaints</u></p> <ul style="list-style-type: none"> <li>• Acting as the Complaint Manager to ensure the firm deals with complaint handling in accordance with the internal procedure and</li> </ul>
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	<p>Legal Ombudsman (LeO) scheme rules.</p> <ul style="list-style-type: none"> <li>• Liaise directly with clients by email, telephone or face to face during complaint handling, reviewing files and drafting responses to achieve resolution.</li> <li>• On escalated complaints to LeO act as the first point of contact, providing the relevant information requested, protecting the firm's interest for a fair resolution.</li> </ul> <p><u>Data Protection</u></p> <ul style="list-style-type: none"> <li>• Acting as the Data Protection Officer (DPO) ensure the DP incident logs are dealt with in a timely manner, liaising with relevant internal stakeholders, clients and relevant external agencies.</li> <li>• Record the investigation findings and if necessary report to ICO or other relevant agency.</li> </ul> <p><u>PII</u></p> <ul style="list-style-type: none"> <li>• Acting as the first point of contact for claims internal and external, dealing with internal notifications in a timely manner, making autonomous decisions for escalation to insurers.</li> <li>• Manage the PII renewal for the firm including completion of submissions forms and gathering of relevant information.</li> <li>• Direct responsibility for liaison and negotiation with brokers for quotations and finance.</li> </ul> <p><u>AML</u></p> <ul style="list-style-type: none"> <li>• Ensure the AML incident logs are dealt with in a timely manner. Respond to AML queries raised and escalate where necessary with a recommended course of action for approval or decline.</li> <li>• Ensure the correct CDD has been carried out on the firms clients.</li> <li>• Working with MLRO to manage AML electronic verification provider and online training provider supplier relationship.</li> </ul> <p><u>Accreditations</u></p> <ul style="list-style-type: none"> <li>• Working with the Practice Manager and Practice Officer ensure the compliance requirements for the annual Lexcel and CQS Accreditation process are up to date.</li> </ul> <p><u>Training and development</u></p> <ul style="list-style-type: none"> <li>• Develop and manage an effective compliance communication program including promoting the use of proclaim risk and compliance workflows and raising awareness of emerging compliance issues and related policies and procedures.</li> <li>• Ensure AML regulatory training is implemented in a timely manner and recorded as necessary.</li> <li>• Manage induction compliance training for new starters.</li> </ul>
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<p><b>Additional</b></p>	<p>Continuous development of professional development in line with firm business needs. Attend staff, management and other meetings as appropriate Be prepared to accept other administrative responsibilities and tasks as occasionally delegated by the strategic management board.</p>
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