

DEBENHAMS OTTAWAY

SOLICITORS

Job Specification

Position: Compliance Manager
Reports to: Managing Partner
Department: Practice Support
Location: St Albans – serving St Albans and Radlett offices

Overview: Providing assistance and guidance to the Risk group and the wider firm in connection with the firm's management of overall risk.

Key responsibilities:

Activities will be varied and will include, but are not limited to the following:

- Support, policy and guidance
 - Providing support (where appropriate) to the Complaints partner in handling complex complaints from clients and the PII partner with claim/circumstance notifications
 - Support and advise PSG and Partners on fraud and regulatory risk (including Anti Money Laundering and Terrorist Financing Regulations, SRA Code of Conduct, Solicitors Accounts Rules, Financial Services Regulation and GDPR) and compliance issues that are relevant to their activities and projects
 - Pro-actively reviewing firm's policies and procedures, on a team by team basis and firm wide
 - Making recommendations for improvements to policies and procedures ensuring that they are real life risk focused rather than "box ticking"
 - Ensuring all risk management policies and procedures are implemented in a commercial manner which takes into account the burden on fee earners, support staff and effect on client services weighed against the risks involved
 - Ensuring policies and procedures are kept up to date on SharePoint sites
 - Analysing and reporting on the firm's risk assessment data
 - Assisting in research in respect of any internal compliance failures
- Audits/Meetings
 - Organising monthly risk and GDPR meetings to include taking notes and recording actions agreed
 - Assist the Lexcel partner in organising and coordinating Lexcel audits
- Reaccreditations/renewals
 - Assist the Senior Responsible Officers (SROs) with annual WIQS and CQS reaccreditation
 - Assist with the COLP with PII and the practising certificate renewal process
- Record keeping
 - Update Lender exchange and other portals as appropriate
 - Maintaining the following GDPR records:
 - IT Security Spreadsheet
 - IT systems spreadsheet
 - Processing Records
 - Data Breach Record
 - SAR request/response record
 - Third party supplier list (to include termination letters etc)
 - Maintaining the following COLP records:
 - Minor Breaches Record
 - Major Breaches Record
 - Compliance Plan

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- Risk Register
 - File reviews
 - Keeping records of monthly file reviews
 - Ensuring corrective actions have been completed.
 - Money Laundering / Tax Evasion / Office of Financial Sanctions
 - Maintaining the MLRO records
 - Act as independent audit function to assess MLR practiced at the firm
- Contact
 - Being the main contact for the ICO and ensuring that our annual renewal is processed (this goes out in January by DD)
 - Being the main contact for any internal audits
 - Liaising with external consultants and bodies as appropriate
 - Monitoring the GDPR mail box on a regular basis and dealing with emails as appropriate
 - First point of contact for any internal compliance queries or issues
- Process management
 - Processing data subject access requests (DSARs) as per the policy and liaising with the project group as appropriate
 - Reporting any data breaches to the project group
 - Logging Data Protection Impact Assessments (DPIA)
 - Ensuring that all new suppliers and contracts are GDPR compliant by liaising with the project group and other relevant individuals
 - Ensure that file reviews are undertaken in a timely manner and any corrective action has been dealt with
- Induction/Training
 - Undertaking compliance induction with all new joiners
 - In conjunction with HR and the COLP, put together an annual compliance training plan and implement this
 - Ensure all new starters undertake compliance training as part of their induction
 - Organising refresher training for existing staff as appropriate

Skills and attributes

- A good understanding of the SRA Code of Conduct and general compliance issues in a law firm
- Familiar with Lexcel requirements
- Minimum of 4 years' experience working in a compliance or risk management role. A shorter period of experience would be considered for a Solicitor with at least 5 years PQE in a litigation, regulatory, PSL, in house or commercial arena wishing to make a move into a compliance and risk management role.
- Good level of initiative
- Big picture skills but with attention to detail.
- A commercial focus to achieving risk management goals.
- Highly organised with the ability to manage a workload
- A good self-starter
- Capable of hands on problem solving
- Ability to cope with competing demands and to prioritise tasks
- IT literate in key software packages (Excel, Word etc)
- Experience of policy drafting/ implementation and training
- Excellent written and verbal communication skills