

Job description

Job Title: Compliance Officer

Reporting to: HR Director

Key responsibilities

Manage and maintain effective systems, controls and processes in support of the COFA, COLP and MLCO to ensure Firm compliance with external regulators and industry standards.

Including but not limited to:

- Liaising with external and regulatory organisations - not limited to:
 - SRA
 - Legal Aid Agency (LAA)
 - Legal Ombudsman
 - Insurers
 - Lexcel
- Manage the Legal Aid Contracts of the firm, acting as point of contact, collating information, submitting applications and working with Partners/Legal Aid Partners/fee earners as needed.
- Maintaining Lexcel Accreditation
 - Annual Policy review
 - Prepare for Lexcel audit and action any recommendations of assessor
- Prepare for any audits - Peer to Peer, Legal Aid reviews, as needed.
- Liaise with Complaint Partners and fee earners, updating the complaints register, preparing claims and liaising with PI insurers.
 - Assisting with the preparation of letters/responses for review by relevant complaints partner
- Attend and minute any Risk Case Management Committee (RCMC) meetings and decisions, monitor and follow up decisions.
- Management of CFA documentation.
- Maintain and monitor all file reviews, updating the file review schedules using Tikit.
- Monitoring undertakings in line with policy, using the firms case management system Tikit.
- Liaising with fee earners on enquiries regarding all matter inception, AML or non-compliance reports.
- Assist MLRO in dealing with internal AML/TF enquiries and reports and assisting with external SARs.

- Analysis of data and registers to report all compliance issues to the COLP, COFA and MLRO.
- Update policies, forms, client care letters and financial information sheets, maintaining the policy and document review schedule and uploading onto Office Standard Manuals.
- Renew all insurance policies for the firm, prior to review by the CEO.
- Renew all Practising Certificates annually and manage certificates and SRA registration of joiners and leavers.
- Provide compliance education and training for all staff on compliance issues
 - Maintain the annual training calendar
 - Arranging and providing materials for AML training
 - Compliance Induction for new starters including use of Prospect Register
 - Provide training on any changes to SRA regulations!
 - Provide Data Protection training for all staff
 - Maintain current signed version of the LLP Agreement
 - Manage the departing Partners checklist and all relevant documents/notifications. Likewise, manage checklist for joining partners.
 - Resolve all non-compliance issues with the CEO, COLP and COFA and refer to the SLT and/or RCMC as appropriate.
 - Act as first point of contact for all compliance queries of staff

Person Specification

You will need to be well organized and have the ability to interact with staff (at all levels) in a fast paced environment. A high level of professionalism and confidentiality is crucial to this role.

The key competencies are set out below:

Commercial Awareness

- Understands and works to the targets and objectives of the firm
- Identifies, assess and manages risk and opportunities, appropriately

Client Care

- Understands the need for client and colleague confidentiality
- Compliance with professional code of conduct

Personal Effectiveness

- Upholds the values and code of conduct of the firm
- Remains calm and approachable when in difficult situations
- Manages workload effectively with good time management

Communication

- attention to detail and accuracy
- Able to produce written work with ease and little amendment

Management

- Establishes responsibilities, deadlines and clear reporting lines when work is delegated
- Is self-disciplined, organised and effective and does not impact negatively on others.

SKILLS - Must Have:

- Background in legal compliance
- Strong knowledge of MS Office, including Word, Excel, PowerPoint and Outlook

Please refer to the 'Competency Framework' for Administrative Staff for full details.