

Job description

Role: Compliance Assistant

Reporting to: Compliance Officer

Overview of the role

Your duties and responsibilities is to provide a wide range of administrative support within the Compliance function of the firm.

Duties Include but are not limited to:

- Updating & accurately maintaining compliance registers such as:
 - Data breaches, complaints, undertakings, anti-money laundering, data protection queries
- Aiding in the preparation for, arrangements & organisation of any audits – Legal Aid, Lexcel, SRA
- Assisting with preparing PI claims, managing notification forms with fee earners, chasing and ensuring completion
- General administration including but not limited to:
 - Attending compliance related meetings,
 - Arranging meetings
 - Sending reminders and following up on actionable tasks as necessary
- Maintaining and monitoring of file review reports and updates. Updating the file review schedules using the client management system (Tikit). Dealing with 1st level queries.
- Liaising with fee earners to respond on basic enquiries regarding all matter inception, anti-money laundering or non-compliance reports. Conducting initial risk assessment and escalating to compliance officer as necessary.
- Analysis of data/information on various registers to highlight missing information or non-compliance and reporting issues back to the Compliance Officer.
- Maintaining the compliance calendar/diary and setting reminders for key policy dates
- Responsible for management/maintenance of the office safe, including a project to move systems online.
- Assisting with the adding & removal of new users to various legal platforms including assigning cases.
- Assisting with education and training for all staff on compliance issues. This includes:
 - Maintaining the annual training calendar
 - Holding new starter induction training – Introduction to compliance

Person specification

You will need to be well organized and have the ability to interact with staff (at all levels) and learn quickly in a fast-paced environment. A high level of professionalism and confidentiality dealing with sensitive matters is crucial to this role. Strong team player.

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:

- Strong knowledge of MS Office, including Word, Excel, PowerPoint and Outlook

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