

Job Specification

Group Risk & Compliance Manager

Reporting to: Head of Risk & Compliance

Key Purpose

Through effective management and leadership of your team, deliver the Annual Compliance Monitoring Programme and provide on-going compliance awareness to our people in support of the business strategy.

Responsibilities

- Achieve individual objectives and key performance indicators as set and agreed
- Ensure compliance KPIs and objectives are met, ensuring a culture of 'Treating Customers Fairly' and putting the client first, with consistent delivery of the right customer outcomes
- Promote, develop and enable our values and culture within the team and across the business
- Oversee compliance 'sign-offs' as required, e.g. changes to the online and offline client journey, financial promotions, letters etc.
- Oversee regulatory breaches, complaints, data protection, financial crime and all other relevant regulatory and legislative requirements
- Preparation and completion of FCA regulatory returns accurately and on a timely basis e.g. Gabriel Return, Value Measures reporting etc.
- Deliver the Training & Competence Plan, ensuring supervision and monitoring is completed to a high standard and within required timescales
- Periodically conduct audits and reviews to ensure implementation of compliance standards and investigate root causes of any issues identified
- Preparation, completion and delivery of the Monthly Risk Assessments for each business
- Deliver the Risk & Compliance Monitoring Plan on a timely basis, ensuring high-quality reviews are completed in accordance with company standards
- Understand and develop own knowledge of regulatory & legislative obligations (including FCA and Data Protection) ensuring the business operates within the required standards
- Deliver added-value recommendations to assist the business in continuously improving the regulatory control environment
- Support our people by providing induction training on Risk & Compliance and Regulation
- Evaluate and review efficiencies in all compliance processes to ensure record keeping and monitoring is consistent throughout the business
- Work with and support other leaders and colleagues to share best practice and achieve common objectives

Skills & Behaviours

- Demonstrate, live & instil our values of Fun, Supportive, Professional, working in Partnership and Ambitious
- Talented and assured in people and performance management
- Dependable leader with the ability to encourage and work in a trusted environment
- Effective at promoting a team focus on technical excellence with service and quality standards at the forefront
- Inspire people through motivational coaching and training
- Create followership in a regulated, compliant and client focused environment
- Confident and capable in, communicating, networking, presenting, influencing, managing relationships and providing an excellent client experience
- Flexible, pragmatic, adaptable and approachable
- Organised and resourceful with exceptional ability to project manage and delegate
- Knowledgeable of FCA regulations, in particular Conduct Risk & Consumer Duty
- Working knowledge of the FCA Connect System
- Commercially sensitive whilst considering business and regulatory risks and have strong business knowledge with a thorough understanding of insurance products, distribution and processes.
- IT literate, analytical and an effective problem solver

Qualifications

- Recognised industry and/or professional Level 3 Qualification
- Commitment to work towards the ICO Advanced Certificate in Compliance