



## Compliance Manager

### The Firm

Devonshires has been based in the City of London for more than 150 years. From our offices in London, Leeds and Colchester we provide legal services throughout England and Wales. Our clients range from some of the world's largest multi-national corporations to private individuals. We act for a significant number of charities, housing associations and Regulators. We would describe ourselves as "full service" with specialists in Commercial/Corporate, Civil Litigation, Housing, Employment, Real Estate & Projects & Property Development. Over the past few years, we have grown significantly and now have approximately 250 employees and a growing international reach

### The Compliance Team

The Compliance Team consists of the COLP, COFA, Complaints/PI Insurance Partner and LEXCEL Partner in addition to the Compliance Manager. There is also a Compliance Analyst providing support.

### Job Purpose

The role reports to the COLP and is primarily responsible for assisting them in ensuring the firm complies with its regulatory responsibilities under the SRA Code of Conduct and otherwise. This is a key role working within and alongside the senior management of the firm, advising on technical compliance issues that arise as well as recommending and implementing improvements to systems and controls and ensuring these are followed through. There is also an element of training delivery to employees, Partners and our external clients.

### Main Duties and Responsibilities of the Role

- Working alongside the COLP to ensure that the firm is compliant with all regulatory responsibilities, including but not limited to;
  - SRA Standards & Regulations ;
  - Anti-Money Laundering Regulations;
  - GDPR/Data Protection Act
  - Risk Management;
  - Equality, Diversity & Inclusion ('EDI'); and
  - best practice per se.
- Specific duties will include the following:
  - Ensuring that the Compliance section of the Intranet (which doubles as the firm's Compliance Plan) is kept up to date at all times with any necessary changes being made promptly;
  - Maintaining and then reviewing the firm's Risk Register (which covers strategic, operational and regulatory risks) annually with the rest of the Compliance team;
  - Advising employees and Partners within the firm on corporate governance best practice, regulatory and compliance issues as necessary;
  - Providing detailed advice and guidance as required to the COLP, MLRO etc;
  - Assisting in developing, initiating, maintaining and revising policies and procedures within the Compliance section of the Intranet;
  - Reviewing processes and systems to ensure that appropriate measures are in place for compliance with all relevant legislation and other legal requirements firm wide;
  - Ensuring that any regulatory issues brought to light via the monitoring processes are escalated to the appropriate business area and that the COLP is kept informed at all times;

- Keeping abreast of changes in regulatory and compliance requirements and considering the impact of any such changes on the firm's Compliance Plan;
  - As part of the EDI team, attending EDI meetings and assisting the Partners on plans and projects relating to EDI.
  - Assisting the LEXCEL Partner in co-ordinating the annual LEXCEL audit and communicating any action points to relevant managers within the firm;
  - Assisting the LEXCEL and Head of HR in ensuring the Staff Manual, Risk Management Manual and other internal compliance documents are kept up to date;
  - **Assisting with the firm's accreditation and audits in relation to ISO27001**
  - Providing advice on conflicts and complaints;
  - Providing input into strategic planning on large, complex and high risk cases;
  - Providing ongoing regulatory advice to all internal stakeholders as required;
  - Participating in matters of concern surrounding potential malpractice or misconduct as required;
  - Ensuring that all regulatory returns are submitted within the relevant time frame;
  - Co-ordinating the Compliance Team meetings, taking notes, circulating the minutes and following up on actions points as required;
  - Working with the COLP to provide effective communication on compliance matters with all internal stakeholders;
  - Delivering induction training to new solicitors and other fee-earning employees and ensuring that all new and existing employees are up to date with all compliance training including but not limited to Diversity & Inclusion, AML, Conflicts, Data Protection and Information Security.
  - Administering the online training software and liaising with the supplier as required, ensuring the license is up to date;
  - Ensuring the firm's Breach Register is kept up to date and that the information collated from any internal breach form is captured appropriately;
  - Maintaining and reviewing the firm's Business Continuity Plan;
  - Co-ordinating the firm's annual CQS accreditation process and dealing with applications for admission to lender panels;
  - Updating and maintaining the firm's Register of Conflicts with information received from employees and Partners in relation to their outside interests;
  - Updating and maintaining a central repository of all Terms of Business signed by clients;
  - Assisting the Business Development team in reviewing Terms and Conditions and Framework Agreements during tender applications;
  - Carrying out appropriate due diligence and signing off on all New Client set up forms;
  - Ensuring that relevant documentation is completed each time the Firm takes on a new Partner or promotes an existing employee to Partner level;
  - Working with HR as required on PC renewal and on other regulatory issues;
  - Overseeing the firm's Procurement process.
- Day to day supervision of Compliance Analyst ensuring they meet the standards required of their role and are provided with appropriate development opportunities; annual appraisal of the same;
  - To provide ad hoc compliance training to clients as requested;
  - Organise and maintain tidy and accurate files both in hard copy and electronically;
  - Undertake such duties and tasks that are appropriate for the role of Compliance Manager.

## Person Specification

### Attributes and Skills Required

- Qualified solicitor still practising or still on the roll OR be able to demonstrate equivalent knowledge in depth as well as broad understanding of all aspects of legal compliance;
- Strong academic background, ideally gaining a 2:1 at degree level;
- Post graduate qualifications in Compliance, Money Laundering, Financial Crime Prevention would be helpful but are not essential;
- Minimum of three years' experience in a compliance role in the legal sector;
- Experience of preparing recommendations and reports for senior management would be ideal but is not essential;

- Thorough and demonstrable knowledge of the SRA's Standards & Regulations, Principles and Code of Conduct, along with the wider compliance responsibilities of Law Firms;
- Prepared to take a broad view on where Compliance falls and takes responsibility as will be involved a number of areas which are not traditionally viewed as falling within compliance per se;
- Strong analytical, drafting and research skills;
- Ability to prioritise workload to increase efficiency;
- Commercially aware, proactive and able to convey clear and concise information to all internal stakeholders at all levels and to external organisations, which will not compromise the practice or the firm;
- A high attention to detail to produce work / documentation which is consistently of a high standard;
- To have a flexible approach to work to ensure deadlines are always met and internal stakeholders are communicated with on a consistent and regular basis;
- Able to work on own initiative and with minimal supervision;
- Understanding and experience of working in a collaborative and consultative environment whilst maintaining a robust approach to compliance standards;
- Diplomatic, polished and professional approach coupled with confidence in understanding and application of compliance issues and communication of the same at all levels including to Equity Partners.
- To be familiar with Word, Outlook and Internet applications;

*Devonshires Solicitors LLP is committed to providing equal opportunities in employment and to providing a workplace free from discrimination and harassment. As such all job applicants, employees, partners and third parties who come into contact with us, will receive equal treatment, regardless of age, disability, gender identity, marriage and civil partnership, trade union activities, pregnancy and maternity, race, religion or belief, sex or sexual orientation. We welcome applications from groups where we are currently under-represented. For this reason we ask that all candidates complete the [recruitment monitoring survey](#) in complete confidence for statistical purposes in order that we can effectively monitor how well our Diversity procedures are working. To review our policies on Diversity & Inclusion and Dignity at Work please visit our recruitment pages at [www.devonshires.com](http://www.devonshires.com)*