## Job Title: Professional Ethics & Compliance Assistant

##

**Reporting to:** Deputy MLRO & Compliance Manager

**Works with:** Professional Ethics & Compliance Team

**Contract:** Permanent

**Hours:** 9:30am – 5:30pm, Monday to Friday. Some flexibility is required from time to time to meet the professional requirements of the role.

**Salary**:Competitive

**Location:** London (with hybrid home working opportunity)

**Benefits include:** 29 days’ holiday per annum inclusive of 4 days’ compulsory leave to be taken during the Christmas office closure, plus all public and bank holidays; contributory pension scheme; life assurance (4 times annual salary); interest free season ticket loan; childcare vouchers; cycle to work scheme.  We also have annual social activities and genuinely pride ourselves on having a supportive and friendly culture.

**About the Professional Ethics & Compliance Team:**

The Professional Ethics & Compliance Team support the work of the firm’s Compliance Officer for Legal Practice (COLP), the Compliance Officer for Financial Administration (COFA) and the firm’s other SRA Officers in promoting a culture of ethical conduct and regulatory compliance.

The SRA officers are partners, associates, and senior staff members with specific compliance responsibilities: Complaints Partner, Anti-Money Laundering Reporting Officer and Deputy Anti-Money Laundering Reporting Officer, Professional Indemnity Insurance Officer, Anti-Bribery Officer, Insurance Distribution Officer and Data Protection Officer.

**Overall purpose for this role**

Reporting to the Deputy MLRO and Compliance Manager, the role holder will play an active role within the Professional Ethics & Compliance team in maintaining ethical and compliance standards at Leigh Day. This includes support to the team to proactively achieve compliance with the requirements of the SRA, the ICO and the firm’s Lexcel accreditation (which is the Law Society’s practice management standard).

**Main duties and responsibilities**

* Handling general enquiries and providing appropriate advice, support, and information to staff
* Supporting the communication and delivery of compliance requirements to maintain Lexcel accreditation and preparation for Lexcel assessments
* Gathering information, drafting and publishing internal compliance bulletins
* Organising compliance inductions for new joiners, including documentation and record keeping
* Meeting new joiners for to carry out follow up compliance induction checks
* Carrying out designated internal audits of files and processes, compliance monitoring, reporting any themes and record keeping
* Maintaining up to date compliance records and a database of FAQs
* Scheduling and monitoring reviews of policies and procedures with policy owners
* Gathering data from the compliance registers to help draft the content of reports for the Compliance Committee
* Periodically carrying out sanctions checks reviewing the possible matches identified and escalating
* Assisting with the administration of conflict checks, record keeping and carrying out internal searches under supervision
* Assisting with the communication across the firm and implementation of new procedures to meet changing statutory requirements
* Taking minutes of meetings as required
* Ad-hoc project work

**Person Specification**

* Excellent academic background with legal qualifications (Degree, GDL, LPC, AML etc.),
* A clear understanding of SRA Standards & Regulations
* Familiarity with the ICO, Lexcel and/or ISO90001
* Previous experience of working in a compliance role, minimum 2 years
* Genuine interest to work with a leading claimant law firm and passionate about providing access to justice to all
* Demonstrable experience of using Microsoft Office applications
* Proven ability to communicate accurately, clearly, and concisely, both verbally and in writing with a wide range of clients and various stakeholders.
* Proven ability to organise and prioritise a complex workload and work to tight deadlines whilst maintaining a positive attitude.
* Excellent attention to detail.
* Willing and proactive, with demonstrable ability to take responsibility for your own workload.
* Proven ability to work and contribute to a team environment.
* Ability to deal with confidential, sensitive information with trust, integrity, and confidence.
* Have the highest standards of professional ethics.