



ROLE: Enterprise Risk Manager

GRADE: C

Date: July 2020

| Role | Need to do | Need to know | Values and Behaviours |
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| <p>Outcomes:</p> <ul style="list-style-type: none"> • To put in place and operate effective Enterprise Risk management. • Maintenance and update of the Risk management framework and programme • Produce and provide meaningful analysis of Risk for effective 2nd line monitoring • Appropriately challenge the business regarding the identified risk • Maintenance and reporting on key Risk indicators • Completion of Risk reports and dashboards. Presenting these to the relevant committees with meaningful commentary • Liaise with the internal auditors and other third party to enable reviews to take place in a pragmatic manner. Ensure that any resulting actions are appropriately dealt with • Lead on the documentation of the internal controls framework including preparation for the AAF review • Ensure that a framework for self-assessment of controls is in place across the business • Challenge departmental risk registers and enable the construction/update of the company risk register • To assist in the identification of Risks (including emerging risks through horizon scanning) and ensuring steps are taken to manage and mitigate these, reporting as appropriate. • To ensure that the skills and knowledge of the Compliance & Risk team are developed to a high | <p>Key Requirements:</p> <ul style="list-style-type: none"> • Able to communicate complex and highly technical matters in a way which is understandable and relevant. • Strong reasoning and problem-solving skills, able to develop pragmatic solutions to complex problems. • Excellent report-writing skills. • Active participant in continuous professional development, with an up-to-date knowledge of relevant accounting, finance, investments and pensions matters. • Able to motivate and inspire members of the Compliance & Risk team to develop themselves and perform to a high level. • Able to build effective relationships at all levels of the company and across the wider industry. • Highly organised and able to work to deadlines and manage competing priorities under significant time pressures. • Strong interpersonal, communication and people management skills. • Ability to challenge appropriately • Ability to think outside the box. | <p>Skills/Knowledge/Experience/Competence:</p> <ul style="list-style-type: none"> • Significant experience of undertaking Risk roles in an asset management/pensions environment. • High degree of professional ethics, integrity and gravitas, able to build belief and analytical thinker with high standards of professional judgement and objectivity. • Able to promote the role of the Compliance & Risk team and the company. • Understand the risk governance framework required for an asset management firm and how to implement the necessary elements. • Understand Risk & Control Self-Assessment (RCSA) principles. • Be able to identify and quantify operational risk scenarios. • Understand the three lines of defence model and the roles that each part of the firm and individual staff members need to play. • Strategic thinker who understands and makes an active contribution to the overarching aims and objectives of the company, whilst being able to interpret and relate | <p>Values:</p> <ul style="list-style-type: none"> • Integrity • Client Focus • Supportive Workplace • Togetherness • Cutting Edge <p>Behaviours:</p> <ul style="list-style-type: none"> • Open, fair and transparent • Honest and trustworthy • Empowered in making right decisions • Accountability for results and delivery • Hard working • Team player |



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| <p>level, and to be an advocate of continuous professional development.</p> <ul style="list-style-type: none"> • To promote the work of the Compliance & Risk team within the company, including the delivery of Risk training. • To actively identify opportunities for continuous improvement and implement them swiftly and effectively. • Support governance risks when outsourcing and onboarding third-party providers <p>Non-Financial</p> <ul style="list-style-type: none"> • N/A • Health and Safety <p>Delegated Authority Levels:</p> <p>Reports to: CCRO</p> <p>Relationships Internal:</p> <ul style="list-style-type: none"> • Executive Directors/ Board/NEDS/Heads/managers/ staff • Stakeholders and Clients <p>Relationships External:</p> <ul style="list-style-type: none"> • | | <p>these to the work of the Compliance & Risk team.</p> <ul style="list-style-type: none"> • Innovative and actively challenges existing ways of working, driving improvements within the Compliance/ Risk framework and across the wider company, promoting a culture of continuous improvement. <p>Qualifications</p> <ul style="list-style-type: none"> • Degree level or equivalent in discipline area • Strong mathematics • Significant experience across Risk • Relevant industry qualification | |
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