

ROLE: Compliance Manager

Date: December 2021

Role	Need to do	Need to know	Values and Behaviours
<p>Outcomes: As part of the Compliance & Risk team the Compliance Manager will have responsibility to ensure the effective and efficient workings of all aspects of compliance function. This senior position will lead, manage and direct a team in the delivery of excellent service to internal and external stakeholders and clients. The role takes responsibility for the Compliance Framework.</p> <p>This key role will have considerable influence in shaping the nature of the compliance framework of LGPS Central and will be able to make a substantial contribution to ensuring that the regulatory requirements of the Company are met.</p> <p>Financial</p> <ul style="list-style-type: none"> • N/A <p>Non-Financial</p> <ul style="list-style-type: none"> • N/A • Health and Safety • Compliance Training <p>Delegated Authority Levels:</p> <p>Reports to: Chief legal, Compliance & Risk Officer.</p> <p>Relationships Internal:</p> <ul style="list-style-type: none"> • Executive Directors/ Board/NEDS/Heads/managers/ staff • Stakeholders and Clients 	<ul style="list-style-type: none"> • Support the development of the compliance culture of the organisation by ensuring the servicing and origination platforms' policies, processes, procedures and training meet with financial regulation and legislation. • Support the development and maintenance of the organisation's Compliance Policy Manual and supporting policies and procedures. • Assist in the design, implementation and maintenance of an annual compliance monitoring programme in order to identify improvements to the implementation of relevant regulation and legislation. • Monitor and report on the business' compliance with prevailing regulation and legislation through monthly monitoring and business reviews. • Identify the implications of regulation and legislation for the business. • Advise line managers on the scope and implications of the 	<p>Skills/Knowledge/Experience/Competence:</p> <ul style="list-style-type: none"> • Knowledge and experience of relevant rules and regulations. • Experience of asset management/collective investment scheme compliance. • 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 Compliance & Regulation, 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. • Significant experience of undertaking Financial Services Compliance roles ideally in an asset management/pensions environment. • Familiarity with a Compliance framework. 	<p>Values:</p> <p>Values:</p> <ul style="list-style-type: none"> • We are a great place to work • We are Client Focus ed • We are Inclusive • We are Ambitious <p>Behaviours</p> <ul style="list-style-type: none"> • Open, fair and transparent, acting with integrity. • Doing the right thing. • Honest and trustworthy • Empowered in making right decisions • Collegiate and Collaborative. • Valuing and treating everyone equally.



	<p>regulation, legislation and the organisation's compliance policies.</p> <ul style="list-style-type: none"> • Support compliance inspections by Regulators, clients and other bodies and the preparation for these inspections. • Advise and guide other staff on compliance matters to support the business. • Write and present compliance reports including summaries of appropriate papers issued by the regulator. • Act as project workstream leader for compliance on new projects and initiatives. • Conduct AML checks. • Review and monitor outsourced services. • Ensure adherence with mandates. 	<ul style="list-style-type: none"> • 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 provide effective team leadership and promote the role of the Compliance & Risk team and the company. • 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 these to the work of the Compliance & Risk team. • 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"> • Relevant Compliance/industry qualification is desirable • Significant experience within field 	<ul style="list-style-type: none"> • Listening to individual ideas to support growth. • Constructively challenging the status quo. Accountability for results and delivery • Friendly, honest and supportive
--	---	--	---

LGPS Central Limited provides an exciting, supportive and family-friendly working environment, and we are committed to helping our people achieve their full potential and a healthy work-life balance. We are an inclusive employer and offer equal opportunities to all regardless of an individual's age, disability, gender identity, marriage or civil partnership, status, pregnancy or maternity, race, religion or belief, sex and sexual orientation. Candidates who declare that they have a disability and who meet the essential criteria for the job will be offered an interview.