

# Compliance Lead

## Central Services

Overview	
<b>Role Purpose</b>	Develop & build a rigorous Compliance function. Enable the business to ensure compliance with FCA regulations, Whistleblowing, Fraud and Anti-Money Laundering functions; and to make returns to FCA, RSH and other regulatory organisations.
<b>Responsible for</b>	Ensuring that NHG meets its regulatory and legal obligations, particularly around financial products
<b>Reports to</b>	Director of Governance
<b>Line management</b>	NA
<b>Tier</b>	6
<b>Expectation Level</b>	Operations Manager
Role relationships	
<b>Internal</b>	Audit and Risk Committee and Senior Managers with regulatory & compliance responsibilities
<b>External</b>	FCA. Fraud investigation specialist. Similar post-holders throughout the G15

Role accountabilities
<p><b>Compliance</b></p> <ul style="list-style-type: none"> <li>• Ensure the co-ordination of the rolling self-assessment process and ensure there is senior level self-awareness of the strengths and weaknesses of the business</li> <li>• Lead the production of the Statement of Internal Controls, and measure compliance against the adopted Code of Governance</li> <li>• Evaluate and report compliance against the adopted code of Governance</li> <li>• Monitor the Gifts and Hospitality register and ensure the procedure is up to date and regularly communicated so staff understand their obligations</li> <li>• Review Schedule of delegations / financial regulations, ensure consistency across any related policies and procedures, and advise SMEs of required change</li> <li>• Lead on developing and maintaining the Asset and Liability register, ensuring with appropriate colleagues that it is kept up to date and accurate</li> <li>• Management, coordination and quality assurance of the risk assessment process for regulated functions</li> </ul> <p><b>Internal investigations and criminal activity</b></p> <ul style="list-style-type: none"> <li>• Support as required investigations relating to Fraud, Anti-Money Laundering and Whistleblowing, keeping meticulous records and reporting upwards to senior management, Board / Committees and / or external regulators as relevant</li> <li>• Ensure the Fraud, Anti-Money Laundering, Whistleblowing Policies, Consumer Credit Licensing and Procedures are regularly reviewed against new legislation, and communicated so staff understand their obligations; carrying out risk assessments and training / awareness as necessary</li> </ul>

## Role accountabilities

### General

- Ensure you follow the financial regulations, policies and procedures at NHG.
- Ensure that you follow relevant Health and Safety policies and related procedures, keeping up to date with changes and taking action to maintain personal health and safety and that of others.
- Maintain the highest standards of personal and professional integrity and conduct
- Ensure confidentiality at all times, only releasing confidential information obtained during the course of employment to those acting in an official capacity in accordance with the provisions of the General Data Protection Regulations
- Develop and maintain constructive working relationships with professional networks to identify and share good practice

Ensure that you undertake any corporate responsibilities as required, including leading investigations and hearings in formal processes across the business.

The tasks and responsibilities outlined above are not exhaustive; the post holder may undertake other duties as is reasonably required.

To do the job well, we have outlined the knowledge, experience, and skills you need to do the job.

## Personal Specification

### Professional expertise (know how & experience)

#### Essential

- Knowledge of the regulatory expectations around Regulated Providers
- Experience of working with confidential and sensitive material in a professional manner
- Achievement oriented – a demonstrable track record of setting and achieving measurable goals
- Substantial experience in a similar role
- Experience of carrying out research and producing summary documentation to reflect findings

#### Desirable

- Auditing background

### Skills

#### Essential

- Great communication skills with the ability to advise, influence, challenge, hold to account, and create effective working relationships at all levels including external parties, senior staff and Committee members
- First class report writing skills with ability to produce concise and high quality analyses
- Ability to produce and interpret tables and charts using spreadsheet packages
- Ability to work to tight timescales and under pressure.

#### Desirable

Qualifications and/or professional membership	
Essential	Desirable
Degree equivalent or qualified by experience	

NHG Expectations
<p>NHG expectations framework outlines what we expect from our staff at the five different expectation levels we have across the organisation.</p> <p>This role is an <b>operations manager level</b> expectation level and therefore you should refer to the <b>operations manager level</b> expectation profile in addition to this role profile.</p> <p>The full NHG expectations framework is available on our external job site page and intranet, Milo.</p>

You'll be assessed on the knowledge, experience, skills, and expectations criteria at various stages throughout the selection process.