# Risk & Compliance Manager

- Truro Head Office
- Permanent
- Monday-Friday: 9-5 (35 hours per week)

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**About this role**

An opportunity has arisen to join our Risk & Compliance Team supporting the Compliance Officer for Legal Practice (COLP) in leading and implementing Nalders' compliance strategy and culture and ensuring Nalders and its managers and employees comply with the SRA regulatory regime and other relevant statutory and regulatory obligations.

We are seeking someone highly organised and efficient to join us as our Risk & Compliance Manager. Reporting primarily to the COLP, but also with significant liaison with other key office holders within the firm, this role provides a great opportunity to build on existing knowledge and experience in the compliance and risk fields.

Key elements of the role include:

- Assisting the COLP in taking steps to ensure compliance with the terms and conditions of Nalders authorisation and that Nalders and its managers and employees comply with, or do not cause or substantially contribute to a breach of, the SRA's regulatory arrangements (save for the SRA Accounts Rules which fall under the remit of the Finance Manager and COFA) or any statutory requirements arising under Data Protection or other legislation (save for anti-money-laundering legislation).
- Implementing and overseeing statutory and regulatory compliance with the SRA Regulatory regime and statutory requirements, including drafting, maintaining and implementing compliance policies and procedures, systems and controls, drafting and implementing training on compliance and risk issues, conducting risk assessments at appropriate intervals.
- Keeping abreast of any regulatory or other compliance changes that may affect Nalders and, as necessary, amending existing compliance policies and processes or devising and implementing new compliance policies and processes.
- Assist the COLP in ensuring that Nalders' internal and external compliance breach reporting processes align with (and do not undermine) our other reporting mechanisms, e.g. whistleblowing or data breach reporting.
- Inform and train staff on relevant compliance arrangements and policies.
- Assisting in the administration of the firm's supervision and file review process and ensuring firm wide completion and rectification of non-compliances within 28 days.
- Operate and take primary responsibility for the firm's Complaints Procedure with the assistance of the Compliance & Complaints Co-Ordinator and be primary point of liaison for the Legal Ombudsman.
- Take primary responsibility for the firm's adherence to the Lexcel quality standard and take the lead in preparation for and conduct of the annual audits by Lexcel.
- Primary liaison and source of information for all compliance, complaints, data protection and client care issues for fee-earners, support staff and other managers
- Responsibility for tasks and projects which may arise within the firm to implement and develop risk led initiatives

- Supporting junior members of the team in increasing their understanding of processes and systems.
- Providing ad-hoc assistance in projects, legal operation initiatives and other core functions under the primary remit of other office holders.
- Assisting Heads of Department with regulatory and compliance matters, including panel applications and renewals.

**About you**

We are committed to diversity and inclusion at work and welcome applications from people of all backgrounds.

You will be looking to develop your experience as a risk and compliance professional and will have at least 3 years' experience within a law firm in a regulatory or compliance-based role. Knowledge of the SRA's regulatory arrangements and the statutory requirements which apply to law firms is essential.

You must be superbly well-organised, capable of managing multiple tasks at once, with first-class written skills and a keen eye for detail. You must be pro-active, self-starter with the ability to work on your own and use your own initiative. This role requires resilience and composure in dealing with difficult and time-pressured situations. You must therefore be confident, an able and clear communicator and comfortable with providing real-time regulatory advice and guidance to all members of the team and, where required, communicating externally on the same issues. You will be capable of quickly making and communicating decisions or making suitable recommendations to the COLP.

You must be comfortable working within case management and database systems.

You will need to be adept at building relationships, with the key office holders, within the legal departments and across the firm. You'll be friendly and approachable, and respect confidentiality in all matters.

**About Nalders**

Nalders LLP is one of Cornwall's oldest and largest law firms with seven offices in Truro, St Austell, Camborne, Falmouth, Helston, Newquay, and Penzance. For over 225 years, local people, families, and businesses have trusted Nalders to manage their legal matters. The firm is innovative, forward-looking and commercially astute – which is made possible by our valued team, made up not only of lawyers and those who support them, but also the key staff in our auxiliary departments: Finance, Compliance, HR, IT and Operations.

**Why work with us**

As a Risk & Compliance Manager you will become part of a fantastic team and we offer a range of staff benefits:

- Ongoing support and training
- Discount on legal services (subject to length of service)
- Contributory pension scheme
- Exam and Study Leave

**Apply now**

If you are interested in being considered for any of this role, please email your CV and a covering letter to the HR Department at careers@nalders.co.uk