

Job Description

Job Title:	Compliance Officer – Regulatory Compliance and Monitoring & Testing
Department:	Compliance
Reports to (solid line):	Senior Manager, Monitoring, Testing and Governance
Direct Reports:	N/A
Certified Person:	N/A
Budget Responsibility:	No

Purpose of role:

To assist the Compliance function and the Senior Manager, Monitoring, Testing and Governance in delivering BAU activities and strategic objectives.

Primary Responsibilities of Role:

- Conduct Monitoring and Testing thematic and periodic reviews as per the timescales outlined in the Compliance Monitoring and Testing plan.
- Update the Monitoring and Testing Action Tracker, ensure action completion by the action owners and document suitable evidence of action closure.
- Assist the Senior Manager, Monitoring, Testing and Governance in completing the monthly Compliance Committee and quarterly Board Audit Risk and Assurance Committee packs, which includes obtaining the necessary MI and commentary from stakeholders.
- Maintain the Compliance Policy register and assist the senior manager in updating Compliance Policies where required.
- Maintain the Compliance Risk Registers in relation to Personal Account Dealing, Gifts and Entertainment and Waivers and Dispensations if allocated by the Senior Manager, Monitoring, Testing and Governance, and provide secondary support to cover annual leave, sickness and following handover, where required.
- Act as secondary support for Co-ordinating the completion of conduct related regulatory reporting from the relevant business areas and saving in draft for the Senior Manager, Monitoring, Testing and Governance to validate before submission onto the FCA Gabriel platform. (GABRIEL outlines the report types and times of execution required).
- Assist the Senior Manager, Monitoring, Testing and Governance and Head of Compliance/MLRO with ad-hoc projects or tasks when requested to do so.
- Support the Compliance team, with the delivery of the bank's vision for compliance and complement the actions of the other team members de-risking the bank and in striving to make the department cross functional.
- Provide advisory support to the business on conduct related matters where required.
- Contribute to team and department meetings as required and assist the Senior Manager, Monitoring, Testing and Governance in forward thinking to improve processes and procedures.

Individual Conduct Rules:

- **Rule 1:** You must act with integrity.
- **Rule 2:** You must act with due skill, care and diligence.
- **Rule 3:** You must be open and cooperative with the UK Financial Conducts Authority, the PRA and other regulators.
- **Rule 4:** You must pay due regard to the interests of customers and treat them fairly.
- **Rule 5:** You must observe proper standards of market conduct.

Competence Requirements:

- Strong writing skills

- Attention to detail
- Ability to articulate issues and actions clearly and concisely
- An understanding of general compliance issues and topics, particularly around conduct risk
- Competent using Word, Excel and PowerPoint

Professional/Academic Qualifications:

Must:

- A graduate, with compliance experience and understanding of current best practice.
- Some knowledge of Corporate, Institutional banking and Private Banking
- MI and Governance experience in Compliance, Risk related activities

Ideally:

- Professional qualification in Compliance and/or a legal or audit background or experience working as a regulator
- Knowledge/Experience with African related financial institutions

Experience/Knowledge

Must:

3 years compliance experience in Compliance and Risk roles / in the business supporting risk decision-making and undertaking Compliance BAU work within a financial services entity.

Ideal:

- Compliance experience working within a banking environment
- Experience writing or updating Compliance Policies
- Experience of Monitoring and Testing
- Horizon scanning or experience analysing or summarising regulatory publications
- Experience completing, maintaining or co-ordinating Compliance MI or Committee packs.

Technical Skills:

A comprehensive understanding of the:

- regulatory framework and compliance requirements associated with financial services and experience of working within, FCA handbook and PRA rulebook
- core banking systems
- industry best practice

Interpersonal Skills:

Exceptional communicator, results orientated and very good at “time and team” management
Excellent oral and written presentation skill with experience at reporting at senior level and forging strong relationship with the business.

Must be driven, articulate, proactive, approachable and pragmatic with a risk based in approach

Languages:

Must:

English

Competencies:

There are *six core behavioural competencies* applicable to every member of staff as part of FBN's Performance Management Framework and are fundamental to the way in which we operate. The level of behaviour required for your role is detailed below and the full range of descriptors for each level is available in the Competency Framework Booklet.

	Competency	Level
1	Professionalism	3
2	Client Focus	2
3	Decision Making & Accountability	2
4	Working with Others	2
5	Change Orientation	2
6	Risk Awareness	2

Signed:

Date: