



Job Description

Job Title:	Compliance Officer – Regulatory Compliance and Monitoring & Testing
Department:	Compliance
Reports to:	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, the Senior Manager, Monitoring, Testing and Governance and the Head of Compliance/MLRO in delivering BAU activities and strategic objectives.

Primary Responsibilities of Role:

- To be responsible for Horizon Scanning through the monitoring of regulations and regulatory change as well as industry best practice and updating the Horizon Scanning tracker as appropriate.
- Ascertain the regulatory consultations and other publications with direct relevance or of material newsworthy interest, to present at the bank's Compliance and Risk Management Committee (CARMCO).
- Update and maintain the Briefing Notes tracker to record all Briefing Notes communicated to bank staff.
- Actions identified through horizon scanning and Briefing Notes will need to be communicated with the relevant business area/stakeholder and tracked until completion. Updates on these actions will need to be communicated within the CARMCO Pack.
- Undertake traceability reviews on new regulations affecting the Bank.
- 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 update Compliance Policies where required.
- Maintain the Compliance Risk Registers in relation to Personal Account Dealing, Gifts and Entertainment and Waivers and Dispensations.
- Act as liaison with FBNL Compliance, managing collation and completion of the monthly Compliance Certificate and responding to ad hoc requests.
- Co-ordinate completion of non-prudential regulatory reporting from the relevant business areas and saving in draft for the Senior Compliance Manager to validate before submission onto the FCA Gabriel platform. (GABRIEL outlines the report types and times of execution required).
- Support 1LoD in embedding best practice in relation to MI and Governance by providing insightful recommendations.
- Maintain the Audit tracker for any actions that the Compliance department are required to complete and track the actions until completion. Also assist in the closure of audit issues
- To support in the monitoring and testing deliverables, undertaking M&T on a specified subject matter
- 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.
- To periodically support the Compliance team in managing financial crime risk, by providing 2nd line advisory support.
- Complement the actions of the other team members de-risking the bank



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:

Must have proven ability to analyse and apply diverse rules, regulations and legislative provisions and to communicate these succinctly to the business, and to design appropriate policies and controls

Attention to detail

Ability to interrogate data in a meaningful way

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
- Horizon scanning or experience analysing or summarising regulatory publications
- Experience completing, maintaining or co-ordinating Compliance MI or Committee packs.
- Experience conducting or assisting on Compliance monitoring and testing reviews

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: