**Job Description**

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| **Job Title**: | Client & Compliance Team Leader | **Location**: |  |
| **Responsible To**: | Practice Manager |  |  |

***Main purpose of the role:***

* To support the firm’s Practice Manager with the delivery of Practice Management duties.

* To line manage the firm’s Central Compliance Team.

***Duties and responsibilities include but are not limited to:***

**Practice Management**

* To support the firm’s Practice Manager with firm wide compliance and accreditation oversight and management.
  + Accreditation scheme memberships and renewals for: Lexcel; WIQS and CQS.
  + Update of the firm’s policies and procedures (Office Manual).
  + Support with regulated audits, ensuing compliance with standards and codes of practice.
  + To assist with claims, complaints and risk management activities.
  + Other compliance support as required.

To support the firms Practice Manager with:

* Managing the firm’s IT and Telephony system requirements.
* Upkeep of the firm’s buildings and statutory requirements.
* The delivery of projects and other Practice Management activities.
* Overseeing the work of the Administration Team.

**Central Compliance Team**

* To line manage the firm’s Central Compliance Team. To supervise, and be familiar with and able to undertake, the Client & Compliance Assistants duties.
* To manage the Client & Compliance Team’s workflow and allocation.
* To ensure the Client & Compliance Team are sufficiently trained in their duties.
* On-board new clients promptly adding all necessary information to SOS Connect:
  + Open new matters within SOS, and open a Document Wallet (where required)
  + Produce client care documentation within SOS and complete with initial information in readiness for Fee-earner to finalise.
  + Ensure client GDPR preferences are recorded on the matter on SOS.
* Assist with matter compliance through:
  + Obtain, receiving, review and upload client identification to SOS and complete electronic AML checks.
  + Check conflict searches have been completed for all new matters opened.
  + Obtain, review and scan source of funds documents.
* Schedule Deeds and action Will Requests using the firm’s procedures.
* Assist with following up enquiries/quotes
  + Making/sending and receiving calls/emails to and from clients to follow up enquiries/quotes
* Assist with scanning and copying of documents.
* Promptly archive all matters through SOS by:
  + Sending each client an End of Matter letter once approved by the Legal Practitioner
  + Sending all cross-selling material as produced by SOS
  + Close the matter within SOS and provide the Document Wallet to Administration
  + Recording Document Movements with SOS
* Manage the firm’s practice management inbox through:
  + Monitoring the practice management mailbox identifying priorities and filing emails
  + Collecting all necessary information on issues and trying to resolve in the first instance
  + Escalating issues, with all necessary information, to the Practice Manager or to third parties
* Work on reception, archiving and other reasonable tasks on request.
* Conduct other reasonable duties which will require the following competencies:
  + The ability to **communicate** and **train** colleagues
  + Be **organised** to support the Practice Management team
  + Prepare **statistics** and **interpret** the results to monitor performance
  + **Administer** forms and applications including enclosures

***Salary and benefits:***

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| --- | --- |
| * A salary of £TBA Per Annum |  |
| * Employee pension scheme | * Life assurance |
| * Company sick scheme * Sponsored training * 24 days of annual leave plus bank holidays | * Opticians scheme & Cash Plan for other benefits * Staff discount |
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**Person Specification**

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| --- | --- | --- | --- | --- | --- |
| Job Title: | Client & Compliance Team Leader | Responsible To: | Practice Manager | Location: | All offices |

We will consider all candidates who meet the Essential criteria. The Desired criteria is designed to guide candidates on our preferred qualifications and experience.

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|  | **Essential** | | **Desired** |
| Experience | At least one year work experience in a supervisory or management role | | Managed a Central Compliance Team (preferably legal sector) |
| At least three years’ work experience within an office environment | | Experience of working for a medium-sized firm of solicitors. |
| Experience working with legal compliance | |  |
| Experience of Microsoft Office | |  |
| Qualifications | A-Levels (grade C or higher, equivalents accepted) | | Degree Level |
| English and Maths GCSE (grade C or higher, equivalents accepted) | | Hold a European Computer Driving License or equivalent IT qualification |
| Skills | Computer literacy | | Project Management experience |
| Numeracy, spelling and grammar | | Basic financial/accountancy |
| Attention to detail and organisation | | Ability to problem solve |
| Written and verbal communication skills | |  |
| Attitude | Give clients the best outcomes through:   * Commitment, hardworking and helpful * Ownership, focussed on client results * Initiative, find the best solution * Flexibility, adapting to change * Care, attention to detail | Be a team player who is:   * United, supportive and accepting * Positive, confident and self-motivated * Approachable, open and friendly * Trusting, honest and reliable * Simple, genuine and uncomplicated |  |

You will also be expected to have access to a car and a full driving license.