

Job Description

NAME: //

JOB TITLE: Compliance and File Closure Assistant

DIVISION: //

OFFICE: Kidderminster (base)

RESPONSIBLE TO: Compliance Partner

PURPOSE OF ROLE

To assist the firm's Compliance Officers with compliance administration, undertake file closures and completion of client matters, ensuring that tasks are undertaken in a timely manner through adherence to and implementation of the firm's guidelines and policies. To strive for continuous development at work.

PRINCIPAL DUTIES AND RESPONSIBILITIES

Tasks and Activities:

1. To assist with the firm's compliance and policy procedures, including relevant administrative and support activities/tasks and evidencing firm compliance with mfg policies.
2. To close client files/matters as instructed by Fee Earners and Line Managers, in accordance with firm procedure and policy.
3. To assist with tasks relating to the completion of client files/matters.
4. To undertake appropriate administrative tasks, including the production of a variety of business correspondence such as letters and reports, to a high standard of quality and accuracy, in a consistent and efficient manner.
5. To carry out photocopying.
6. To deal with filing, storage and retrieval of client papers as instructed.
7. To enter client information onto the firm's case management system and computer databases where required.
8. To generally assist colleagues in the office and provide any other support commensurate to the role.

Generic Responsibilities and Expected Standards:

1. To assist with the implementation of good working practices, maintain a high standard of work and client service/care within your area of responsibility, in accordance with the firm's policies, procedures and guidelines and/or as directed by your line manager.
2. To use initiative on all matters.

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3. To ensure confidentiality and security for all firm and client documentation and information.
4. To undertake any specific training as and when required.
5. To effectively demonstrate the firm's values and behaviours at all times.
6. To maintain clear and precise communications with, and assist, other members of staff as required.
7. To develop good working relationships with external institutions, organisations and other third parties.
8. To ensure that any equipment supplied for the purpose of your work is used correctly, maintained and any defects/faults are reported.
9. To ensure that Health & Safety principles and safe working practices are followed at all times. Employees have a legal duty that gives them responsibility, so far as is reasonably practicable, to ensure that they do not endanger themselves or anyone else by their acts or omissions.
10. To cooperate with the firm on Health & Safety matters and do not interfere with or misuse anything provided for health, safety and welfare purposes.
11. To keep areas of work clean and tidy.
12. All employees have a responsibility to carry out their work with due regard for the environment.

PERSON SPECIFICATION

Skills, Knowledge, Experience and Attitudes

1. A proficient level of literacy and numeracy.
2. Experience of data entry and text processing, with a high level of attention to detail.
3. Competent in the use of Microsoft Office software packages including Word, Excel and Outlook.
4. Experience of working within a team environment, and able to interact effectively with others.
5. Committed to excellent client service.
6. Highly motivated, driven and enthusiastic.
7. Uses initiative and works creatively.
8. Proactive, adopts a can-do attitude and willing to learn.
9. Flexible to work across different mfg offices.
10. An understanding of and adherence to General Data Protection Regulation (GDPR), maintaining confidentiality and integrity at all times.
11. Experience of working in compliance desirable but not essential.

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SUMMARY

The details outlined in this job description reflect the content of the post at the date the job description was prepared. It is inevitable that over time the nature of a defined job role will change, existing duties may be lost and other duties gained without changing the general character of the work or level of responsibility entailed. It is intended that this job description will be revised from time to time in discussion with the post holder.

In addition, you may be expected to perform other duties commensurate with this position or as required to assist the business needs. Any additional tasks will be kept within your abilities and skills range, and training will be provided if necessary. Such agreement should not be unreasonably withheld.