



Vacancy:	Senior Risk & Compliance Executive
Department:	Risk & Compliance
Reporting To:	Head of Risk and Compliance
Location:	London, Birmingham, Leeds or Winchester
Fixed Term:	Permanent
Working Hours:	Full time (9.00am to 5:30pm)

The Firm

Capsticks is a leading provider of legal services to the health, social care and housing sectors, as well as in the field of professional discipline. The firm has a turnover of c£38m and 400 staff - including more than 250 fee earners - across its 4 offices in London, Birmingham, Leeds and Winchester and acts for a wide range of long standing clients in both the public and private sector including all forms of NHS organisations, governmental and regulatory bodies, registered providers, insurers, defence organisations, independent healthcare providers, charities and GP practices.

Further details about the firm and the type of work carried out can be found on our website at www.capsticks.com.

The Role

This is a hands-on role as a member of the busy Risk and Compliance team responsible for the development and maintenance of effective risk management and compliance standards at Capsticks. The Senior Risk & Compliance Executive will assist the Head of Risk to achieve compliance with the requirements of the SRA and the ICO, and to maintain the firm's accreditations: ISO9001 (quality assurance) and ISO27001 (information security). You will also be expected to engage with members of the firm across our 4 offices to assist in promoting an understanding of risk to drive compliance, continual improvement and improve the client experience. You will report to the Head of Risk and work alongside a Risk & Compliance Executive and a Risk and Compliance Coordinator in a team of four.

Main Duties and Responsibilities:

- Supporting the Head of Risk and the team to maintain and promote a best practice culture across the firm;
- Working with division heads and staff across the firm to ensure that effective and proportionate compliance controls are implemented in project planning to ensure the firm can comply with its regulatory obligations and maintain its quality standards;
- Managing the quality management cycle for the firm's ISO accreditations;
- Coordinating internal and external audits, guiding solicitors when conducting their audits, and carrying out selected internal audits; and
- Reviewing and updating the firm's policies and procedures in conjunction with division heads and senior management to ensure Capsticks meets the requirements of its quality standards and regulatory requirements;
- Contributing to the maintenance of the firm's risk registers; and
- Handling individual queries on issues of professional conduct, regulatory issues and internal procedures (for example, maintaining confidentiality/new client AML checks/conflicts checks).

Other Duties and Responsibilities:

- Developing content for training and delivering training;
- Developing processes for improved file management;
- Creating and circulating compliance alerts and best practice updates;
- Researching queries on regulatory and non-regulatory compliance;
- Maintaining up to date records and updating the firm's practice manual;
- Providing regular updates and progress reports to the Head of Risk; and
- Minute taking in all attended meetings.

Candidate Specification

The Senior Risk & Compliance Executive has a responsibility to ensure that their skill set is up to date and that they are familiar with the firm's internal systems and procedures. This will ensure that they are able to carry out their role effectively and to the best of their ability.

Candidates should ideally have/be:

- Educated to degree standard or equivalent;
- Experience of working in a similar role / related area within a law firm or legal services;
- Previous experience of dealing with complex compliance issues in a law firm;
- Previous experience of writing policy and procedure in a law firm;
- Previous project management experience;
- Previous experience of managing a quality management system within a law firm, preferably ISO9001;
- Previous experience of handling professional conduct, AML and conflicts queries;
- The ability to identify how effective risk management can improve the client experience;
- The ability to work calmly under pressure, to juggle multiple deadlines and to manage the expectations of demanding internal clients;
- Excellent IT / Microsoft Office skills (in particular Excel and Power Point)((a working knowledge of Sharepoint is desirable);
- Excellent verbal and written communication skills;
- The willingness to go the extra mile to deliver;
- Commitment to meeting consistently high standards; and
- Excellent attention to detail, grammar and proof reading skills.

Candidates will also be expected to demonstrate that they are:

- Self-motivated and able to take the initiative and work without direct supervision but also be part of a team;
- Proactive and innovative in their approach;
- Able to communicate professionally at all levels within the firm;

- Focused on the delivery of a first class service;
- Willing to learn more about the health and social care sector and the services Capsticks provides;
- Knowledge of the requirements of the SRA Handbook, SRA Code of Conduct, AML Regulations, General Data Protection Regulations, ISO 9001, and ISO 27001;
- Aware of the role of the COLP and COFA in a law firm
- A team player who is able to manage, motivate and work alongside others;
- Able to be flexible and dependable;
- Able to quickly build respect and trust; and
- Able to adapt their working style to get the best out of others.
- Willing to travel on occasion to our other offices

If you are interested in applying for this position please apply by sending your covering letter **and** CV via the vacancies section on our website at www.capsticks.com

Capsticks is an equal opportunities employer

Capsticks is committed to providing equal opportunities for all and to encouraging diversity through recruitment. Applications are welcome from all sections of the community and decisions to progress will be made with reference to entirely objective criteria only.

Capsticks is an agile firm and is open to conversations about flexible working.