

Job Description

Job Title	Risk and Compliance Manager
Name	
Employing Company	Guardsman Industries Limited
Regulated Entity	Guardsman Industries Limited
Effective Date	
Reports to	Risk and Compliance Director
Other responsibilities include	Manager to the Assurance Administrator
Regulatory Function	N/A
Regulatory Description	N/A

Summary of role	<p>To ensure that the business and its employees comply with all relevant regulations and that the controls in place are being followed as designed.</p> <p>Assisting with implementing risk mitigation controls to support the risk and compliance framework.</p>
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<p>Main Duties</p> <ul style="list-style-type: none"> • Assisting in the design and implementation of the Compliance Monitoring Programme (CMP) whilst considering the requirements of SYSC. Taking ownership of the plan and subsequent reporting going forward • Assist with the creation and implementation of a new risk management framework, assisting with embedding new controls to mitigate identified risks within the business and assisting/updating the risk management process and quarterly meetings to assess risk against agreed risk appetites. • Capture and document all aspects of the business ability to operate under varied scenarios to ensure operational resilience. • Complete assurance testing on various areas of the FCA Handbook to ensure compliance, agreeing actions and monitoring to conclusion. Including thematic reviews to assess current and emerging risks relating to an issue or product. • Work with the business to enhance reporting to allow for informed decision making
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Note: Every effort has been made to make this job description as complete as possible. However, it in no way states or implies that these are the only duties you will perform. The omission of specific statements of duties does not exclude them from the position if the work is similar, related or a logical assignment of this position.

- Own the business continuity plan and liaise with UK and US stakeholders to ensure it remains relevant, is up to date, with recent legislation/regulation, and conduct random testing of the plan.
- Ability to provide expertise and experience in implementation of the requirements under GDPR and ensuring all relevant documentation is in place.
- Implement an internal training and monitoring programme, for all regulatory courses, reviewing courses before distribution.
- Tracking documentation that require annual review and providing assurance all policies and procedures are in place, are up to date, accurate and relevant to the required regulation.
- To work with the HR department to monitor and complete all regulatory applications and annual assessments.
- To minute take relevant internal committee meetings and action tracking to conclusion, agree agendas with the Chair, update senior leaders with expected papers and compile the committee packs.
- Ensure that all relevant logs are maintained, with suitable audit tracking.
- Update all employees of regulatory or legislative changes which effect the business through monthly bulletins.
- To devise and complete risk and compliance inductions with all new starters
- Implement a process for reviewing, and ongoing monitoring, of financial promotions against the requirements of PERG.
- Assist in the development of conduct risk through management information, reporting and culture.
- Day to day contact with the business to provide compliance guidance and advice, ensuring all activities are compliant with regulations.

Essential skills/experience

- **Essential**
 - A minimum of three years' experience in a risk and/or compliance setting within an insurance company, ideally retail focused.
 - Have had some experience with creating/using compliance monitoring programmes
 - Have exposure to and understand the basics of risk management.
 - Have full working knowledge of various sections of the FCA handbook including, SYSC, PERG and PROD
 - Experience with implementing SMCR
 - Experience with implementing GDPR
 - Ability to work with the business to drive a positive compliance culture.
 - Able to work independently, be proactive and have attention to detail.
- **Desirable**
 - Experience within second line of defense.
 - Experience of managing others.
 - Project management skills
 - Able to demonstrate problem solving skills

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<p>Qualifications/Systems</p> <ul style="list-style-type: none"> • A qualification within risk or compliance, desirable but not essential.
<p>Stakeholders/structure team/reporting line</p> <ul style="list-style-type: none"> • Reporting to the Risk and Compliance Director
<p>Logistics: salary/travel/location/shift/start date</p> <ul style="list-style-type: none"> • Office location Abingdon, flexibility to work from home for the right candidate
<p>Equal opportunities:</p> <p>The Amynta Group and Guardsman Industries are both equal opportunity employers. Both Companies are committed to being inclusive employers and welcome applications from all suitably qualified applicants irrespective of their background.</p>
<p>This job description provides a high-level review of the types of work performed. Other job-related duties may be assigned as required.</p>

Signature and Date (Job Holder)	
Risk and Compliance Director Signature and Date	
This job description must be reviewed at least annually or following any significant change.	

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