Risk and Compliance Assistant

Location: Edinburgh
Reporting to: Head of Risk

Main Duties

Risk, compliance and information security are cornerstones of our business and play an important role as we continue to grow. We are recruiting for a Risk and Compliance Assistant, reporting to the Head of Risk.

This role will require you to liaise with internal and external stakeholders (including insurers, brokers, regulators and auditors). You will work closely with those in our business who deal with training, systems, compliance, information security, claims and complaints. You will be involved in the following areas:

- Assisting fee earners to meet their obligations and to be compliant with all applicable legislation and regulation, particularly in areas of Law Society of Scotland practice rules and SRA Handbook.
- Assisting the Head of Risk across a wide-range of areas including:
  - Administering insurances.
  - Investigations and responses to claims and complaints.
  - Business continuity planning.
  - File reviews.
  - Procedures relating to conflicts of interest and insider lists.
  - Risk management analysis and reporting.
  - Keeping abreast of regulatory changes and new risks, and recommending appropriate changes to our strategy, systems, policies and procedures.
  - Evolving our systems, policies, procedures and documentation in respect of risk and compliance.
- Diary management, travel and administration.
- Providing training as and when required.

Candidate Experience

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<th>Essential</th>
<th>Desirable</th>
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<td>• Good knowledge of Microsoft Office (Word, Outlook, PowerPoint, Excel).</td>
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<td>• Excellent inter-personal skills and the ability to communicate clearly and effectively.</td>
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<td>• Experience of working with various levels of personnel to deliver agreed outcomes within agreed timescales.</td>
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<td>• A Level or Equivalent or above is preferred.</td>
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<td>• Some previous office/administration experience is preferred.</td>
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Candidate Skills

- Self-motivated, proactive, able to use initiative, with the ability to work well under pressure.
- Strong work management and organisational skills.
- Enthusiastic and willing to learn.
- Ability to work independently and as part of a team.
- Methodical approach and excellent attention to detail.

These duties reflect the situation at September 2019 and may be subject to reasonable change at a later date.

Shepherd and Wedderburn is committed to protecting the privacy and security of your personal information that we collect as a “data controller”. The information provided by you will be processed in accordance with our GDPR Privacy Notice for Applicants and Work Experience Students. If you are successful in obtaining paid employment with us, we will hold your information in accordance with our Personnel Data Retention Policy, which will be provided to you at the relevant time.

We will process the information you provide solely for the purpose of evaluating your application for employment. The information will be disclosed to the interview panel (if relevant), your line manager (if appointed), and Human Resources staff members. We may contact any references provided for the purposes of discussing your application, and will ask your permission before doing so.

If you provide any information deemed to be “special category” information under the General Data Protection Regulation, we may use this as follows:

- We will use information about your disability status to provide appropriate adjustments to the interview process.
- We will use any information provided in our diversity monitoring form about your race, colour, nationality, ethnic or national origin, gender identity, gender expression, social mobility background, religious beliefs, sexual orientation, any disability information, age, and marital/civil partnership status to ensure meaningful equal opportunity monitoring and reporting. Any analysis of this data will be done on an anonymous basis.

Should your application be unsuccessful, the information provided will be deleted within 1 year of a decision not to progress your application.

If you have any further questions about how we process and store your information, or your rights in relation to this, please refer to our GDPR Privacy Notice for Applicants and Work Experience Students (available at www.shepwedd.com/careers/working-with-us/privacy-notice)