



JOB DESCRIPTION

# Risk and Compliance Assistant



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<b>Position</b>	Risk and Compliance Assistant
<b>Department</b>	Risk and Compliance
<b>Reporting to</b>	Head of Risk and Compliance
<b>Office</b>	Bishop's Stortford

### Overall Purpose

The Risk and Compliance Assistant will play a key role in supporting the firm to manage its day-to-day compliance operations. Working closely with the Risk and Compliance Team, you will assist with maintaining the firm's digital client care and compliance records and you will provide administrative support. This is an exciting opportunity for someone looking to build their career in legal risk and compliance.

### Main Tasks

- » Providing administrative support to the Risk and Compliance Team, including checking diaries and arranging meetings, monitoring enquiries coming into the Team shared inbox, liaising with other teams on risk and compliance issues and responding to internal queries
- » Recording and updating the firm's electronic central records of risk and compliance, including complaints, breaches, file reviews and client feedback
- » Assisting with the preparation of the firm's annual external assessments (Lexcel, Customer Service Excellence and Conveyancing Quality Standard)
- » Collating data and assisting generally with our professional indemnity insurance renewal
- » Undertaking checks on the firm's practice management system and assisting with internal file reviews to make sure that our client files are complete and compliant
- » Assisting with amendments to policy documents and keeping records of changes
- » Assisting with client onboarding to include opening files, undertaking anti-money laundering checks, credit checks etc
- » Assisting with the preparation of training materials, team newsletters and other internal communications
- » Attending meetings as a representative of the Risk and Compliance Team. Minutes/note taking may be required
- » Dealing with routine Risk and Compliance queries from staff
- » Undertaking any other administrative duties which from time to time may be allocated

This job description is not a definitive list or exhaustive list of responsibilities but identifies the key responsibilities.

## Job Specification

	Essential	Desirable
<b>Education Qualifications</b>	Good all round education to at least A' Level or equivalent standard	
<b>Experience</b>	Has good working knowledge of Office 365 (Word, Excel, Outlook, OneDrive, SharePoint, Forms, PowerPoint etc	
<b>Personal Attributes</b>	Well organised – ability to maintain accurate electronic records Excellent attention to detail Can use own initiative and work independently but also can work collaboratively within a team Can prioritise workload and work to deadlines	
<b>Competencies</b>	Excellent IT skills Excellent communication skills, both verbally and written	
<b>Other Factors</b>		Previous experience in a risk and compliance or administrative role within a professional services or legal environment desirable but not essential.

September 2025