



Job Profile

Job Title	Compliance Officer	Name	TBC
Reports To	Compliance Manager	Region	Group
Location	Bradford		

Purpose

To develop, assist and respond to emerging risk and developments in the regulatory landscape. To be proactive in providing advice and guidance to the business whilst adhering to the applicable regulations.

To contribute to Compliance’s assurance activities and to ensure the business has the procedures and skills it needs to meet its strategic objectives. To help develop and maintain Compliance procedures and provide training and guidance on the FCA regulatory framework.

Key Accountabilities

Responsibilities, Duties and Tasks:

- Provide day to day support to the Head of Compliance and the Compliance Manager
- Contribute to the overall development of the Compliance function’s strategy
- Knowledge of 2nd line Compliance Monitoring, supporting the Compliance Manager in the development of the annual Compliance Monitoring Plan
- Undertake and deliver Compliance Monitoring reviews, providing feedback, both verbally and in written reports
- Handling objections and challenging conversations regarding Compliance Monitoring reviews
- Ability to compile, analyse and interpret management information and data
- Horizon scanning and identification of emerging risks
- Training & Competence – Assist Compliance Manager with the T&C Scheme
- Agency – Assist Compliance Manager with Insurer Agency matters
- GDPR – Assist the DP Advisor and Compliance Manager on all GDPR matters
- Assist the Compliance Manager with Compliance & GDPR Policies & Procedures
- Assist the Compliance Manager with day to day queries from the business
- Develop strong and collaborative relationships with all business areas
- Occasional travel to other TLD offices

Skill Requirements:

- A solid understanding of the regulatory framework
- Relevant transferable experience gained from a compliance role
- Working knowledge of the Acturis Broking System
- Compliance Monitoring experience
- An understanding of or working knowledge of the nature and structure of the insurance industry
- An understanding of or working knowledge of the broking process

- Excellent written and verbal communication skills
- Attention to detail and the ability to multi-task
- Excellent time management skills and ability to prioritise workload
- Proficiency with Microsoft Office Suite
- Ability to work independently and part of a team

Compliance

- CPD hours annual attainment

Technical guidance / Training and Development

- To ensure that all Aviva Development Zone modules are fulfilled in the year.
- Commitment to ongoing personal development

