

Ethics and Compliance Manager

Basic information

Scale: 3

Job family: Business Services

Terms: Permanent

Location: Cheltenham

Reports to: Head of Legal and Governance

Direct Reports: N/A

Team: Legal and Governance

Business unit: Finance and Corporate Services

Date created: January 2021



Job purpose:

To develop and direct an effective ethics and compliance programme in order to protect and enhance UCAS' reputation and values, by mitigating the risk of breaches to company policies, procedures, and relevant regulations, notably FCA and UK Bribery Act.

Key accountabilities:

- Working with UCAS' Executive and Senior Management Group, demonstrate and communicate UCAS' commitment to its policies and processes through an effective communications plan so that an appropriate ethics and compliance culture is developed and embedded across the business.
- Develop and maintain compliance processes and procedures as appropriate to minimise risks, ensure adequate reporting systems are in place and ensure regulatory compliance across the business which shall include but not be limited to Financial Conduct Authority regulated activities, UK Bribery Act, modern slavery, and health and safety.
- Provide advice and guidance to staff regarding ethics and compliance related matters.
- Establish and maintain an effective ethics and compliance training programme for staff.
- Implement, review and continually improve procedures to ensure that all new third parties are subject to appropriate onboarding assessment and due diligence, and that for existing third parties, where appropriate, risk assessments and due diligence are revalidated on a regular basis.
- Employ strong investigative techniques including in-depth interviewing, inspection, observation, and analytical procedures to assess compliance with key compliance and regulatory requirements, internal compliance policies and effectiveness of key controls.

- Develop and establish practical procedures and recommendations for corrective action to be taken by the business in order to adequately mitigate compliance risks.
- Maintain awareness of regulatory developments which may have an impact on the business
- Prepare for regulatory change by identifying potential effects and support the business in the development and implementation of compliant solutions.
- Implement, review, and continually improve a monitor and review programme to ensure the continuing effective implementation of the ethics and compliance programme
- Ensure that appropriate documentation is retained to demonstrate an effective ethics and compliance programme.

Skills, qualifications, and experience:

- Educated to degree level (or equivalent).
- It is desirable that you have previous experience in financial services within a compliance or risk position with an understanding and working knowledge of the Financial Conduct Authority Handbooks and the ability to apply the knowledge in a commercial environment.
- Ability to perform risk-based analysis of data and processes to identify risks and remedial actions.
- Good working knowledge of financial products and services.
- The ability to interpret, understand and advise all levels of seniority in the business of an appropriate course of action on a broad range of regulatory provisions.
- Proven ability to identify, analyse and control any regulatory issues and to propose practical and sustainable solutions, escalating matters where appropriate to management level or team.
- Excellent communication skills, both written and verbal with excellent attention to detail.
- High levels of integrity and the ability to act with due skill, care, diligence, and confidentiality.
- Proven skills in producing and presenting monitoring reports of an exceptional standard to senior management.
- Ability to work to tight deadlines whilst ensuring the work undertaken remains to a high standard.
- Demonstrate qualities that motivate and inspire colleagues while gaining their respect and confidence, builds leadership in others.
- Demonstrate a high degree of personal initiative with the drive and ability to meet challenging goals.
- Drive, energy, and a good team player who is also able to work independently.

This role profile sets out the scope and main duties of the post at the date when it was drawn up. Such details may vary from time to time without changing the general character of the post or the level of responsibility entailed. Such variations are a common occurrence and cannot of themselves justify a reconsideration of the level of the post. All UCAS employees are expected to be flexible in undertaking the duties and responsibilities attached to their role and may be asked to perform other duties, which reasonably correspond to the general character of their role and their level of responsibility.

Our values in action:

Customer-focused – We understand what our customers want, and we act on their changing needs.

Collaborative – We collectively create an engaging and positive work environment.

Accountable – We take ownership of our individual and organisational performance.

Service excellence – We realise, grow, and maximise our potential.

Trusted – Individuals are trusted to make informed decisions and take appropriate risks.