



Job Description:

## **Governance and Compliance Assistant**

Grade: LTL Other £30,000 - £40,000 (salary range dependent on role fit)

Reporting to: Company Secretary and Head of Governance

Direct and indirect reports: NA

To apply for this role please send a completed job application form, EDI monitoring questionnaire and CV to [recruitment@londontreasury.org](mailto:recruitment@londontreasury.org) by mid-day on the closing date of 20 January 2025 quoting reference G&C001 in the header.

Interviews are scheduled to take place during week commencing 03 February 2025.

### Background

London Treasury Limited (the Company) has seen significant growth and expansion in its services over the last few years resulting in a significant increase in headcount. The governance and compliance functions are looking to manage this in part through the introduction of technology and online portals as well as introducing and streamlining processes. This role will play an instrumental part in facilitating the move towards more tech focused and streamlined governance and compliance functions.

You will support the Company Secretary and Head of Governance (Head of Governance) and the Chief Risk Officer (CRO) through the provision of effective administration of all people related activities. The governance function is responsible for, amongst other things, all people and HR related matters which are led on a day-to-day basis by the Head of Governance.

The compliance function is led by the CRO and takes responsibility for, amongst other things, all people related matters in respect of its FCA regulatory status. As an FCA regulated firm the Company is required to comply with the SMCR Regulations and this post will support the CRO in respect of this.

An external HR consultant is retained to provide HR advice and support as required. The Company has recently implemented an HR self-serve portal and this role will be responsible for populating and maintaining the portal as well as advancing its use.

This role will be primarily responsible for the delivery of all people related administration as well as supporting the Head of Governance and CRO in the delivery of governance and compliance administration. Training will be provided as appropriate including the attainment of a professional qualification in either HR, Governance or Compliance/Risk as appropriate.

## Key responsibilities

- To provide outstanding, accurate and insightful administration to the governance and compliance functions.
- To deliver people related administration interfacing with the governance and compliance functions as required.
- To liaise with the relevant team to ensure all external facing media (website, LinkedIn etc) remains accurate and up to date in respect of our people with consideration and in compliance with the FCA rules.
- To oversee the maintenance and management of any governance and compliance portals and software.
- To maintain all registers (statutory and internal) as appropriate to the role.
- To support the ongoing monitoring, maintenance and development of appropriate governance and compliance frameworks, guidance documents, policies and procedures etc.

## Role specific requirements

- To provide HR monitoring reports to appropriate recipients (individuals or committees) in respect of HR related matters i.e. absence reporting, appraisals due and completed, training undertaken etc.
- To undertake and lead on all onboarding requirements, including due diligence checks using an appropriate portal, and supporting the CRO in respect of regulatory requirements.
- To support the governance and compliance functions to submit regulatory returns in accordance with the compliance framework, appropriate authorisations and regulatory requirements.
- To maintain the 'Know Your People', or similar, portal in respect of people related due diligence.
- To support the CRO with the annual compliance questionnaires for all staff.
- To undertake the appropriate checks and filings with the FCA in relation to SMCR.
- To keep succession planning for recruitment to key roles under review.
- To support the production of HR, governance and compliance documentation such as policies, terms of reference, forms and templates.
- To maintain the statutory and internal registers.
- To oversee the management of the DocuSign portal; adding and circulating documents for signature as requested, adding new users and maintaining the document filing

system.

- To maintain an appropriate schedule of board and committee meetings.
- To support the production and creation of board and committee meeting packs.
- To take minutes at operational meetings, deputising for the Head of Governance as appropriate.

#### General requirements

- To have a general knowledge of applicable regulatory returns or a willingness to undertake the relevant training to gain the knowledge.
- To have high levels of numeracy to support the CRO with investment risk analysis.
- To have high levels of literacy to support the Head of Governance with report writing and meeting agenda pack review and preparation.
- Professional knowledge of Microsoft Office core applications (Excel, Word, PowerPoint and Outlook) with advanced knowledge of Microsoft Word sufficient to draft templates and format reports and board meeting agenda packs.
- Effective written and oral communication style with good attention to detail.
- An understanding of and ability to work within the corporate structure.
- A commitment to collegiate and collaborative working, actively contributing to an inclusive culture for all.
- Willingness to undertake training and development as required by the firm from time to time.
- To always adhere to the Company compliance manual, internal policies and other regulatory requirements as notified from time to time by the CRO, taking collective accountability for the same across the company.
- To realise the benefits of London's diversity by promoting and enabling equality.