



## **MANAGER, LEGAL COMPLIANCE**

### **Summary**

The Manager of the Legal Compliance Department will support the Senior Counsel and Partner of the Legal Compliance Department to ensure business integrity and compliance with all Client requirements, Federal and State laws and regulations, Firm expansion, client external audits, internal quality control program and operating loss analysis, contract review, accreditation standards, vendor management, business continuity and disaster recovery, employee training and internal policies and procedures to support growth of the organization. The Manager of Legal Compliance will implement global firm initiatives, create reporting, training and audit the program while maintaining general oversight and risk assessment. The Manager of Legal Compliance will serve as a resource to the Senior Counsel and Partner of Legal Compliance in the development of the department and responsible for leading the group in completing the functions described above.

### **Position Type/Expected Hours of Work**

The Manager of Legal Compliance is a permanent, full-time, salaried position.

### **Responsibilities**

- Manage all external audit questionnaires, onsite audits and audit remediation.
- Develop audit tools, plan, schedule, and conduct readiness audits, and track remediation with all lines of business.
- Develop and facilitate firm training.
- Implement and monitor remedial measures for client performance reporting.
- Oversee all firm vendors; including onboarding the vendor, annual reviews of the vendor and ensuring internal processes exist to demonstrate compliance with their delegation.
- Monitor publication of any new regulatory requirements, review, analyze and interpret the requirement with the assistance of the Associate of Legal Compliance.
- Engage the lines of business to identify, analyze, refine and keep record of all remediation resulting from an operating loss.
- Keep record of all firm policies and procedures; maintain versioning of business process maps; define best practices and recommend process improvements.
- Effectively gather, interpret, and disseminate information to the firm; respond to inquiries from employees, management, and others, as necessary.
- Assists with projects; performs other duties and responsibilities as assigned.

### **Skills**

- Works well in a team environment with the ability to work independently and set priorities.
- Strong analytical skills with superior attention to detail.
- Polished, professional presentation, interpersonal and communication skills; both written and verbal.
- Excellent organization, problem solving and time management skills.
- Decisive and exercises good judgment under pressure.
- Methodical and diligent with outstanding planning abilities.

### **Minimum Qualifications**

- Bachelor's Degree, related field, or equivalent work experience.
- Advanced skills with MS Office tools (including Excel, Word, and Power Point), Outlook and experience with auditing software.
- Prior experience working with a compliance and/or audit program desired.
- In depth knowledge of the industry's standards and regulations desired.
- Basic understanding of the company's business practices and familiarity with the company's products and services desired.