

Marketing Compliance Senior Manager (L6)

Location: Victoria with blended working	Profession: Financial Services
Reports to: Head of Marketing, Financial Services	
<p>People Management: Yes Assignment Management: N/A</p>	
<p>Job description (critical purpose)</p> <p>Although this role sits within the JLFS Marketing Team, you'll be working closely with our Partners in Risk & Compliance to ensure that all financial Services (FS) product advertising and promotional material that is issued to our retail customers meets ASA and FCA expectations and delivers fair outcomes. You will also have a broader role to make sure that the policies and controls within the Marketing area are implemented appropriately.</p> <p>You will be the lead accountable compliance SME for Financial promotions and will work directly with Marketing, providing in the moment advice and guidance, and when appropriate, delivering the right challenge to internal stakeholders - to ensure that our marketing material is always right first time and managing financial promotions approvals 3rd Party Providers.</p> <p>You'll take a proactive role in making sure that Marketing adheres to the Financial Promotions framework, and associated controls and policies, and will work with Risk & Compliance to identify, deliver and embed continuous improvements to it.</p> <p>You will line manage Marketing Compliance Managers to ensure personal and professional development, nurturing talent and maintaining performance standards.</p> <p>Through your Profession you will have the opportunity to develop and stretch personally and professionally to achieve your potential.</p> <p>The Partnership supports agile and flexible working practices, such as when, where and how we work. We have several different ways to work flexibly, including part-time, flexible or compressed hours, and job sharing. Head office areas also support a blended working approach.</p> <p>We celebrate diversity and inclusion in the John Lewis Partnership and we are committed to becoming the UK's most inclusive business, reflecting and connecting with the diverse communities that we serve.</p>	
<p>Primary Outcomes & Accountabilities</p> <p><u>Manage relationships with JLFS Risk & Compliance Team and 3rd party providers compliance functions</u></p> <ul style="list-style-type: none"> - Ensure a clear understanding of relevant FS industry principles including the ASA, FCA, HMRC, Consumer Credit obligations and all related legal and regulatory obligations for JLFS related business. - Build relationships and lead the relationship with the JLFS Risk & Compliance and Commercial teams to help you deliver right first time, compliant financial promotions that support fair outcomes and minimise any brand or reputational risk to JLP. - Work across the Marketing team to ensure that the policies and controls are effective, acting as lead SME. - Lead relationships with JLFS's product providers' compliance teams, taking appropriate actions to enable the provision of right first time/compliant financial promotions that support fair outcomes and minimise any brand or reputational risk to JLP. 	<p>Measures of success</p> <p>There is effective management of its reputational risk and working relationships with internal and Provider compliance functions.</p> <p>JLFS and each product and providers governance is consistent and contractual obligations are being met</p>

Develop JLFS Financial Promotions Framework and controls environment

- Proactively support the ongoing development and embedding of the JLFS enterprise wide risk management framework and also the Financial Promotions Framework.
- Ensure adherence to all aspects of the JLFS Financial Promotions Framework within Marketing.
- Deliver training and support to Marketing Partners, in collaboration with Risk & Compliance.
- Monitor and report Framework adherence to the Framework to ensure focus and attention.

Develop in-house Financial Promotions SME function and act as in-house expert

- To work closely with JLFS Risk & Compliance, to support the marketing teams on submissions to Providers
- To work with learning and development, personal development and Retail to input into relevant compliance training to ensure compliance with our regulatory obligations.
- Management of Marketing Compliance Manager.

Stakeholder Management

- Work closely with Provider Compliance functions, Legal Services, JLFS Risk & Compliance, JLFS Leadership Team and JLFS team.

Act in accordance with the Partnership's purpose and democratic principles, constructively participating in co-ownership, and demonstrating to customers and each other that it is a better way of doing business. Share your knowledge, experiences, ideas and opinion to improve the Partnership, speaking honestly and frequently.

Invest in your personal and professional development to achieve your potential, by doing more, doing better, or doing different things. Continuously engage with and actively contribute to your Profession

Auditable reporting of the adherence to the FP Framework as a key control.

Enabling ongoing improvements to the framework to ensure it remains relevant and fit for purpose.

Positive internal feedback from Partners within JLFS.

Objectives, PDPs in place with regular opportunities given for feedback and progression discussion.

Skills	
<i>Business Strategy</i>	<i>Thinks for the long term whilst making sense of the current climate. Cuts through any issues in order to reach the defined goal and ensures continued alignment to current business objectives. Puts these strategies in place for peers and team and in doing so, creates a culture where everyone contributes.</i>
<i>Continuous Improvement</i>	<i>Thinks boldly and sees issues and opportunities from all angles and multiple perspectives, even the unprecedented to draw out meaning and connections and make recommendations to adjust strategy and outcomes as a result. Generates a number of workable options and overcomes barriers to finding solutions.</i>
<i>Prioritisation</i>	<i>Plans and reviews workload regularly and is prepared to adapt to ever changing circumstances. Assesses workload realistically in terms of urgency and importance and is ready for "curve balls" and changes plans where necessary to ensure optimum achievement and deadlines are hit and stakeholder relationships are maintained.</i>
<i>Critical thinking</i>	<i>Interprets evidence and information to develop well reasoned arguments for thinking and can readily draw on evidence to justify a chosen course of action. Can think clearly when presented with multiple pieces of information and gets to the nub of an issue in order to make a well informed judgement.</i>
<i>Results-oriented</i>	<i>Remains motivated and shows drive and determination to achieve success. Persists in the face of obstacles and overcomes any barriers that arise, focusing on solutions and not problems.</i>

The six Assessment Criteria for Resourcing most relevant to this role are:

- Customer & Performance Focus
- Empowered Partner
- Planning & Delivering Excellence
- Collaborating & Supporting
- Agility & Resilience
- Communicating & Influencing

Qualifications & Experience

Qualifications

Essential:

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Desirable:

- CISI Compliance Diploma,
- ICA/CII Diploma in Governance, Risk and Compliance / Anti money Laundering and customer due diligence /Financial prevention of Crime

Experience

Essential:

- Significant experience working in relevant market, i.e. ideally banking/Financial Services.
- Experience in the approval of financial promotions, or other relevant compliance experience.
- Significant and demonstrable experience in stakeholder management, written and verbal communication, and organisation skills
- Line management experience.
- Good knowledge and understanding of regulations, laws and codes of conduct relating to financial promotions, including the FCA COBS, ICOBS, and CONC financial promotion rules; Advertising Standards Authority and the Committee of Advertising Practice Codes of Practice.

Desirable:

- Numeracy
- Commercial Awareness & Decision Making
- Customer Orientation
- Management of Performance
- Stakeholder Management
- Planning & Prioritisation
- Communication
- Project Management
- Negotiation

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1.0	Naomi Radley	20/01/2023

2.0

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