



WILLIAM GRANT & SONS

## ROLE PROFILE

<b>Role Title</b>	<b>Compliance &amp; Controls Manager BBU</b>
<b>Internal Reference</b>	CEN-0442
<b>Business Unit / Group Function</b>	Central Services, BBU
<b>BU Team / Sub-Function</b>	Finance
<b>Location</b>	Hook; SBP; Richmond; Arete
<b>Team Leader Role</b>	BBU Financial Controller
<b>Role Level</b>	4A
<b>Team Members</b>	No
<b>Role Purpose</b>	
<p>Lead and drive compliance programs and activities across the BBU, by proactively working with each market to establish a robust compliance and controls framework, identify the key controls and to monitor these on an ongoing basis. Coordinate all such programs and activities with the Legal Counsel and Internal Audit team.</p> <p>To support the successful growth of BBU markets through the robust administration and governance of new and existing legal entities in the region. To coordinate the requirements and workload of the central support function leads (Finance, HR, Audit, Legal, Tax) with local management teams and external advisors to ensure all legal and statutory obligations are understood and met.</p>	
<b>Accountabilities</b>	
<ul style="list-style-type: none"><li>• Manage the co-ordination and completion of the Control Assessment and Risk Evaluation (CARE) across the BBU, including designing and tracking an action plan to close nay controls gaps identified.</li><li>• Support the BBU Legal Counsel in the formulation and roll out of Legal compliance programs and initiatives – including anti-bribery and corruption, data protection, competition law – to all markets.</li><li>• Business-partner with regional teams to provide pragmatic advice and support regarding compliance monitoring, controls and investigations</li><li>• Collaboration with in-market Finance and Internal Audit teams, assisting in performing design effectiveness and operating effectiveness testing</li><li>• Support deployment, updating and testing of all risk management/mitigation frameworks, including Risk Registers and Business Continuity Plans</li><li>• Monitor compliance with in-market laws and regulations, liaising with local accounting, tax and recruitment providers to ensure full implementation of local requirements</li><li>• Oversee the annual compliance calendar for each BBU legal entity and manage the gathering of internal information in response to regulatory requests, returns and compliances.</li><li>• Investigate irregularities and non-compliance issues, working with internal functional experts to ensure issues are resolved.</li><li>• Lead governance agenda in local entity management meetings and report to regional Governance Boards (eg AME Board) on current risk and compliance performance.</li><li>• Produce regular BBU Board reports, providing appropriate overview of all compliance topics and to highlight any compliance issues within the BU.</li><li>• Monitor and continue to drive the APCDMI compliance framework across all BBU regional teams.</li></ul>	



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<b>Key Performance Metrics:</b> 1. CARE / Compliance Co-ordination completion and consolidation of CARE. Ensure appropriate management of APCMI within regions. 2. Risk identification and mitigation Support deployment and continued updating of risk management frameworks for all markets. 3. Entity governance Ensure all regional and functional teams are aware of their obligations and that all deadlines are met. Ensure Governance Boards are kept updated on performance and emerging issues and that financial/reputational risk of non-compliance is minimised.	
<b>Created by:</b>	Paul Hancock
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