**Job Title: Specialist Wealth Advice Assessor**

**Location:** Swindon

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| **ROLE AND CONTEXT** | **NEED TO DO** | **NEED TO KNOW** | **NEED TO BE** |
| **PURPOSE**  Responsible for the pre and post-sale advice checking of Wealth Business, including specialist Investment and Occupational Pension business for The Openwork Partnership.  Ensuring that the advice and Suitability Report complies with current regulation and The Openwork Partnership’s COB Suitable Advice framework.  Responsible for providing feedback to advisers and suggested improvements, where necessary.  Ability to deliver constructive feedback well.  **KEY ACCOUNTABILITIES**     * Checking of cases in accordance with current regulation and Openwork’s COB Suitable Advice framework, in an accurate, effective, and fair way * Identify and champion improvements to team processes and procedures. * Work in collaboration across the partnership ensuring that the financial advisers’ requirements are met, which allows them to provide suitable advice. * Identify and develop strong relationships with key contacts across the partnership (both internally and externally) providing advice and technical guidance as required * Regularly chase the adviser and/or providers where there are outstanding requirements. * Ensure all work is completed compliantly and within agreed service level agreements. * Responsible for pro-actively managing an individual pipeline of cases. * Promotion of teamwork across Operations and the Network | **KEY PERFORMANCE INDICATORS**   * Assess client files in accordance with the business and regulatory standards fully utilising the checklists in place for audit control. * Achievement of productivity measures which ensures overall team achievement of service level agreements. * Effective management of case pipeline, including outstanding queries with adviser. * Record the results of the assessment accurately and concisely. * To be a positive role model, committed to embedding The Openwork Partnership’s behaviours. * To provide courteous and consistent support to team members, advisers, and supervisors to improve quality * Working effectively with the appropriate Operations, Contract Services and Compliance teams to improve advice quality across the partnership * Escalation of Exceptions and Trends * Timely reporting of potential Breaches and Rejects   **RELATIONSHIPS**   * Operations Managers * Operations Colleagues * Advisers / Paraplanners / Admin * SQRMs/QRMs * Advice Process Team * FIRST * IT (OWS) * Concert Development Team * Concert Training Consultants   **DECISION MAKING**   * Investigating and understanding issues and finding solutions to problems. * Responding to adviser challenges. * Making risk-based decisions at case level. * Identifying and proposing process improvements. * Identify when and how to escalate issues that need to be addressed by others. | **QUALIFICATIONS / EXPERIENCE**   * Level 4 Diploma in Financial Planning (with completed R04 exams or equivalent). * Good understanding of pension and investment products. * Previous experience of proactively managing a pipeline. * Previous experience of dealing with adviser and providers.   **KNOWLEDGE**     * Knowledge of Pensions & Investment products, including safeguarded Benefits, SIPPs, and Pension Crystallisation. * Good understanding of Financial Conduct Authority requirements for pension and investment transfers. * Awareness of Financial Conduct Authority, Treating Customers Fairy principles and general advice process. * Familiar with The Openwork Partnership adviser and network and/or other networks. * Strong IT skills, particularly with how to use MS Office, particular Word and Excel.   **SKILLS AND COMPETENCIES**   * Sound judgement skills, ensuring impartiality and consistency. * Good problem solving, analytical and decision making * Able to express ideas and opinions to influence others and confront issues. * Ability to communicate, listen and negotiate effectively at a variety of levels using various mediums. * Able to work well as an individual and part of a wider team. * Time management, planning, prioritising and organisation skills. * An attention to detail combined with high accuracy. * Able to build and maintain good working relationships. * Flexible in approach, can handle high work and associated pressures due to service level agreement delivery. | **OUR BEHAVIOURS**  **IT’S PERSONAL:** We treat everyone with empathy and as an individual.  **IN PARTNERSHIP:** We always remember we are in this together.  **WE DO IT RIGHT:** We’re here to build trust and deliver peace of mind.  **WE BELIEVE:** Everyone can make a difference.  **INTEGRITY**  Working at all times lawfully and in accordance with pre-defined regulatory, compliance and financial requirements e.g. Data Protection, Financial Crime, Code of Conduct, Health and Safety and Financial Conduct Authority Standards.  Working at all times in accordance with procedures, group / company policy and processes. |