

Funeral Plan Quality Assessor

Role Levelling

P2

Purpose	Key Relationships
<p>To carry out effective first line of defence quality monitoring of regulated transactional funeral plan sales/administration activities to ensure compliance with FCA regulation and Central Co-op Funeral plans' quality measures.</p>	<p>FPL Operations Funeral Regulatory Compliance Funeral Operations Finance Customer Services</p>

Key Accountabilities	Measures of Success	Experience/ Qualifications Required
<ul style="list-style-type: none"> • Conduct quality monitoring to ensure compliance with FCA regulation of funeral plans in the Funeral Plan Admin / sales teams. • Support the design and delivery of Quality Assurance scorecard to assess funeral plan administration/sales specialists' performance. • Work in accordance with the Financial Conduct Authority regulatory timelines. • If required, carry out telephone mystery shop activity to monitor Introducer Appointed Representative relationships are operating within the boundaries of the IAR Agreement • Attend calibration meetings with first- and second-line to ensure consistency in monitoring activity and root cause any issues. • Ensure that monitoring targets are achieved. • Review Management Information to inform risk-based reviews and additional monitoring activity of individuals as and when required • Provide period and ad-hoc performance reporting to Line Manager and second line defence. • Alert Line Manager to expected breaches of policy, legislation and regulations at an early stage for investigation, assessment and escalation. • Work with Line Manager to support with coaching and developing colleagues to ensure that the right training is provided to ensure processes are completed within the regulatory timelines. • Influence process change with effective communication. • Work with Line Manager and second line defence to ensure processes remain up to date with changes in regulation. • Additional tasks as requested by Line Manager 	<ul style="list-style-type: none"> • Monitoring targets are met on a periodic basis. • Improvements in service delivery of colleagues found to be performing below required standards. • Results of calibration activity indicate accurate monitoring of sales colleagues • Effective contribution in calibration meetings held on a monthly basis • Effective working relationships with key stakeholders, as above 	<ul style="list-style-type: none"> • FCA certified or an understanding of FCA regulation • An understanding of compliance within financial services. • Work collaboratively with colleagues and peers. • The ability to influence and make changes • Excellent communication skills both personal and written.