



## Job Description for Corporate Compliance Monitoring Officer, for Punter Southall Aspire

Date completed: New role

Date Last Updated:

Vacancy Reference	PS16153
Title	Corporate Compliance Monitoring Officer
Branch	CBU based in Guildford with travel to Punter Southall Aspire offices as required.
Controlled Function registration	N/A
Aim of Role	<p>To provide professional Compliance guidance and assistance to all Punter Southall Aspire staff.</p> <p>The management of risk is controlled by the full use of compliance monitoring within Punter Southall Aspire.</p>

### Reporting Lines up

Title	Scope of Responsibility
Punter Southall Aspire Corporate Compliance Manager	Solid line

### Direct reporting lines down

Title	Scope of Responsibility
N/A	N/A

Description of Responsibilities & Competencies Appropriate to Title and Position

Core Competencies		Core Measurements	Core Behaviours
Compliance Monitoring Programme	Contributing to the production and implementation of the Punter Southall Aspire Compliance Monitoring Programme in a timely manner.	A Compliance Monitoring Programme is completed and put in place mitigating controls against the risks of each of the businesses.	Interpersonal skills: Work co-operatively, respectfully and in an integrated way with colleagues and other departments.
Risk Assessment	Contribute to the risk assessment process by assisting in assessing, prioritising and documenting the major monitoring risks impacting on Punter Southall Aspire (including but not restricted to conduct, TCF, industry, operational, financial and regulatory risks) on a quarterly basis.	Identified risks are reported to the Punter Southall Aspire Corporate Compliance Manager in a timely manner.	Role Model: Set an example for behaviour internally and externally.  Team member: Work effectively across the department and company structure.  Creativity: Proactively contribute towards constructing effective solutions within the appropriate risk management framework.
Investigation	Assist in investigating any significant issues of concern and report as appropriate.	Significant issues identified in an investigation are reported to the Punter Southall Aspire Corporate Compliance Manager in a timely manner.	Commercial: Proactively contribute towards making effective decisions which take into account the commercial/risk impact upon the company.
Monitoring	Undertake monitoring of Punter Southall Aspire in accordance with the Compliance Monitoring Programme, ensuring that all findings are documented and reported in a timely manner. Pass on any Consultant development needs identified as part of the monitoring process to the Punter Southall Aspire Corporate Compliance Manager.	A monitoring programme is in place and being followed by Compliance staff. Reports on the findings are submitted to the Punter Southall Aspire Corporate Compliance Manager and findings recorded on the relevant database in a timely manner. A Quarterly Compliance Monitoring Report is also submitted to the Punter Southall Aspire Corporate Compliance Manager. Quarterly Compliance and TCF.	Service: Deliver clear, suitable advice/ guidance and service & manage other internal stakeholders expectations.  Self development: Take the initiative for self development and for furthering and updating own expertise and knowledge.
Anti Money Laundering (AML)	Where required assist with providing guidance on AML to all Punter Southall Aspire staff and report any instances of potential Money Laundering internally.	Anti Money Laundering procedures are in place and being followed by the job holder. Any breaches are reported to Punter Southall Aspire Corporate Compliance Manager immediately.	Organisation & Time management: Ability to work in an orderly and methodical fashion, using planning skills to accomplish goals.  Self Management: Manage own behaviour and performance through self-awareness, high personal standards and maintaining resilience under pressure
Data Protection	Where required assist with providing guidance on data protection to all Punter Southall Aspire staff and report any breaches internally.	A Data Protection Policy is in place and procedures are followed by the job holder. Any breaches of data protection are reported to Punter Southall Aspire Corporate Compliance Manager immediately.	Analytical problem solving skills: Ability to gather and analyse information and use thinking skills to

<b>Reporting</b>	Reporting instances of non-compliance and risk to the Punter Southall Aspire Corporate Compliance Manager in a timely manner.	A Reporting process is in place and followed by the job holder in a timely manner.	develop solutions to problems or situations.  <b>Decision making:</b> Ability to determine the most appropriate outcome  <b>Communication and presentation skills:</b> Highly effective ability to convey information in a clear manner and interact with others.  <b>Adaptability:</b> Being flexible and able to adapt to changing circumstances, situations and working practices.
<b>Corrective action</b>	Assist in providing the business with details of the corrective action required to remedy weaknesses identified during compliance investigations and monitoring in a timely manner.	Corrective action is included in the quarterly compliance report submitted to the Group Compliance and Legal Director. Where relevant, development needs are passed on to the T&C Officer in a timely manner, to enable him/her to implement the appropriate training.	
<b>Projects</b>	Assist in Compliance projects as required.	All relevant projects are completed in a timely manner.	

#### **Personal Development & other accountabilities**

- **Ensure maintenance of competence by constantly reviewing own training needs and, in conjunction with the Punter Southall Aspire Corporate Compliance Manager, addressing those needs in an appropriate and timely manner.**
- **To support and provide assistance to other members of the Compliance team.**
- **To report to Line Management any serious issues affecting Punter Southall Aspire.**
- **To report any compliance failures/breaches to the Punter Southall Aspire Corporate Compliance Manager.**
- **Adhere to all Group policies and procedures.**
- **To ensure expenses are not incurred over and above the staff norms.**
- **To comply with PSG gifts and entertainment policy.**

#### **Qualifications & Capabilities**

- **Proven experience of field based Compliance within a corporate pensions financial services environment.**
- **Degree educated.**
- **A minimum of the Certificate in Financial Planning or equivalent.**
- **Pensions qualifications highly desirable – R04; J04; J05; AF3; R08 (at least one of these).**
- **Preference to be at, or actively studying towards a QCF level 4, such as CII Diploma level, PMI Diploma.**
- **Desired previous corporate pensions adviser experience.**
- **Appreciation of both the FCA and The Pension Regulator requirements in respect of the corporate pensions arena.**
- **Robust understanding of auto-enrolment requirements and flexible pension legislation.**
- **Proven communication, analytical and interpretation skills.**
- **Ability to communicate well at all levels, face to face, over the phone and in writing.**
- **Report writing skills.**
- **Self motivated, flexible team player.**

The undersigned hereby acknowledge acceptance of the above responsibilities:

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Print Name