



JOB DESCRIPTION – Quality and Compliance Executive

MAIN DUTIES AND RESPONSIBILITIES OF THE POST

Purpose:

To:

- Ensure company procedures and working practices generate no regulatory or financial risk to the business.
- Identify areas for improvement across the business, including feedback and training on policy, procedures or individual education as necessary.
- Management of wording within brochures, policies and terms & conditions, including version control.
- Managing and understanding any incoming feedback relating to the customer experience
- Program testing to ensure developments are assured prior to installation into the live system.
- Support the development of products and services offered by the Company, including their integration and automation into existing systems.
- Provide mutual support to the Compliance Officer during periods of absence.
- Coordinate with the Finance Assistant role and develop an effective understanding of that role.

By:

- Auditing and developing departmental working practices to ensure quality and compliance with regulation and implement revised practices and procedures, where required.
- Auditing departmental working practices to reduce/eliminate financial risk to the business and implement revised practices, where required.
- Auditing calls to ensure compliance with regulatory requirements including GDPR.
- Responsible for dealing with requests for disclosure under GDPR.
- Develop and maintain departmental operating procedures for training and development purposes.
- Proactively engaging with customers using a range of media platforms and communication methods to resolve identified problems
- Maintain the Complaints Register and deal with all Company complaints following acknowledgement through to final response.
- Maintain accurate records on advertising.
- Undertake relevant checks on new broker applications including maintaining records for new and existing broker agreements.
- Maintain accurate record keeping and filing.
- Keep up to date with regulatory changes, cascading relevant information to the business.
- Maintain sign-off procedures and ensure brochures, literature and web content is accurate and compliant, with a well-maintained document library.
- Provide input to departmental Managers in respect of staff training and development.
- Providing the necessary support to the Finance Assistant as required.



Personal performance, conduct and development

Meet targets and take responsibility for own performance:

Remain abreast of current services offered by the company and be aware of changes to legislation by the Financial Conduct Authority (FCA). Cascade any information / changes in legislation to work colleagues.

Work in Accordance with the company policies and procedures:

Be aware of and adhere to Company policies and procedures. Work in a way that meets the statutory requirements of employees under Health and Safety at Work.

Flexibility and Team Work:

Work flexibly as part of a team to meet the need of the services provided by the Company. Value each team member's contribution and help colleagues to the best of their abilities.

Professionalism:

Set a good example to other staff in attitude to work and general working practices. Deal with all colleagues in a professional manner. Maintain a professional working relationship with direct reports in order that there is no issue in dealing with any unacceptable performance and/or conduct.

Additional: You may be asked to carry out tasks that are in addition to those listed in the Job Description where required and within your capabilities.

What You Can Expect From Us

- Attractive Salary dependant on experience
- Access to Pension Scheme
- Sick Pay Scheme and Attendance Bonus
- Great Annual Leave Benefit
- Free Worldwide Multi Trip Travel Cover and discounted rate for family members
- Cash benefits linked to Personal Accident, Life Cover and Critical Illness
- Employee Rewards Scheme
- Commitment to Employee Learning and Development
- Access to Wellbeing Services and Discount Scheme
- Friendly working environment in Peterborough, convenient location close to the A1

About Us

Our greatest strength is our people – professional, driven yet grounded and fun to work with. If our culture sounds like a good fit for you and you want to be part of our exciting journey then please send a copy of your CV to jobs@generalandmedical.com