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| **Job Description** | Case Reviewer |
| Direct Line Manager | Head of Case Monitoring |
| Key Responsibilities | Performance Indicators |
| * Check advisers’ client files of core products including protection, mortgage, savings, investment, personal pension and general insurance business sales against regulatory and company standards in respect of documentation and suitability of advice, ensuring they are reviewed thoroughly, fairly, consistently and promptly * Check advisers’ client files for specialist area products including equity release, long term care and specialist pension (defined benefit transfers) business sales against regulatory and company standards in respect of documentation and suitability of advice, ensuring they are reviewed thoroughly, fairly, consistently and promptly (where the case reviewer has the relevant qualification). * Identify risk issues on cases reviewed and recommend corrective actions, applying the principles of Treating Customers Fairly * Prepare feedback reports to advisers / T&C Supervisors highlighting development needs and action points and requesting further information and corrective action as necessary * Record all appropriate information on the Company back office systems as required in line with case review standards. * Manage own case load to ensure all outstanding action / information is followed up, completed and resolved appropriately and within Company timescales, liaising with Advisers / T&C Supervisors as required. * Highlight any breaches, inconsistencies or trends identified to the Head of Case Monitoring and /or Compliance Director as appropriate. * Deal with queries from advisers, either by email or via supervisors. Build and reinforce positive relationships and ensure that issues are resolved, and mutually acceptable solutions are found. * Ensure up to date knowledge is maintained and applied in respect of departmental policies, procedures and standards, and actively contribute to their development. * To fully participate in and adhere to any performance management process the Company has in place, in a professional and constructive manner. * Carry out additional reviews to assist with appeals, complaints and investigations when required. * Maintain appropriate training records and ensure CPD is logged, adhering to the standards of the relevant professional accreditation body. * Attend and positively participate in team and company meetings as required | * Performance against agreed targets and objectives * Regular 1:1’s * Performance appraisals * Quality assurance checks * Internal/external feedback * CPD * Annual retention of knowledge tests * Performance review * Industry qualifications |
| Knowledge Requirements | Skills Requirements |
| * FCA/regulatory knowledge * Commercial/organisation awareness * Industry knowledge * Product knowledge * Compliance knowledge   Experience requirements: -   * Minimum 2 year’s financial services experience   Desired experience: -   * 1 year case review experience   Essential Qualifications: -   * Diploma in Financial Planning (or equivalent level 4 qualification) * Level 3 mortgage qualification (e.g. CF6)   Desirable Qualifications: -   * Qualifications for specialist areas e.g. G60/AF7, ER1, CF8 | * Communication skills, particularly written feedback skills * Analytical thinking * Working with others * Problem solving and decision making * Excellent customer service * Drive and effectiveness * Use of technology * Job expertise * Managing and interpreting information * Time management |
| SM&CR Requirements | |
| * You must act with integrity. * You must act with due skill, care and diligence. * You must be open and cooperative with the FCA, the PRA and other regulators. * You must pay due regard to the interests of customers and treat them fairly. * You must observe proper standards of market conduct. | |