

Job Title:	Resolution & Quality Assurance Executive
Department:	Resolution & Quality Assurance
Job type:	Permanent Staff
Reporting To:	Resolution & Quality Assurance Manager
Work location:	Aylesbury
Date of Job Description:	October, 2018

Overview

Share plc is the AIM quoted parent company of The Share Centre Limited – one of the UK's leading independent retail stockbrokers.

Job Purpose:

Manage all expressions of dissatisfaction & complaints in line with FCA guidelines and TSC company protocols. Assist in the collation of reporting and insight for TSC & third party relationships. Quality assess call and non-call activities. Carry out regular calibration to assist managers in their Service Quality & Compliance (SQ&C) assessments and to ensure consistency through coaching and to assess any disputes.

Company core values:

These are: Enterprise, Respect for Others, Empowerment and Responsibility, Long term Stability and Clarity.

All people managers are expected to strongly and demonstrably embrace these principles in their contribution to the business through service and support generally and to specific client groups.

Principal accountabilities

Complaint Management:

- To act as the escalated point of contact for customer complaints where they cannot be resolved at first contact. To manage those complaints in line with FCA guidelines and the TSC complaint management protocols.
- To work with Operational areas to ensure all customer facing staff and managers are aware of and able to evidence adherence to complaint management requirements and root cause analysis.
- To assist in the collation of monthly and YTD complaint reporting and analysis of trends and insight for Exec (by 5th working day of each month).
- To assist in the collation of a monthly summary email for Management Team (TSC) of Dissatisfaction topics (Complaints and feedbacks), share case studies and external industry complaint insight.

Service Quality & Compliance (SQ&C):

- Assist with Pulling required activities to assess on a daily basis and to quality assure them based on prescribed procedures.
- To organise calibration sessions with Team Managers with the aim of ensuring consistent companywide quality assessments, scoring and coaching.
- To contribute to the SQ&C methodology continually evolving in line with regulatory, customer experience and engagement requirements.
- To attend & actively engage in Service Quality 'learn' sessions for Team Managers and teams sharing examples of great service and examples which highlight improvement opportunities.
- To assist in the production of a monthly and YTD reporting of SQ&C performance across departments implementing the SQ&C methodology and tool for Exec (by 5th working day of each month).
- To assist in producing a monthly summary email for Management Team (TSC) of SQ&C insights and performance.

Specific role related responsibilities as applicable

- Quality assurance function to ensure consistency within the business.
- Effective root cause analysis & elimination of future occurrences including additional training
- Regular training and support in collaboration with L&D to prepare front facing teams for continuous improvement
- Manage Complaints in line with FCA guidelines including effective root cause analysis
- Liaise with Compliance for regular complaint monitoring & auditing purposes
- Liaise with Auditors, Compliance & Regulators in respect of theme visits
- Agree company-wide consistent approach & hand-offs to all Departments including Customer Service
- Produce monthly & bi-annual Complaint & Quality Assurance reporting
- Ensure regulatory compliance, avoid breaches and maintain awareness of AML, DP, DISP, MIFID II & CASS requirements.
- Any other duties that are deemed necessary

Control functions

- None

CASS Assurance

- As required, participate in relevant CASS training throughout the year
- Ensure relevant staff are aware of CASS through updated processes and procedures and on the job training

Key person dependencies vested in this role

None

Management Standards

None

Person Specification

	Essential	Highly desirable
Qualifications	<ul style="list-style-type: none"> ▪ Minimum of 5 GCSE or equivalent including Maths & English at Grade C or above ▪ 2 A levels or equivalent experience ▪ Or ▪ At least 2 years' experience in a Complaint Handling & Quality Assurance role 	<ul style="list-style-type: none"> ▪ Experience in best practice in both complaint management and Service Quality
Experience	<ul style="list-style-type: none"> ▪ Fast paced office experience 	
Technical Knowledge	<ul style="list-style-type: none"> ▪ IT Skills in Microsoft Office - Word/Outlook, Powerpoint and strong Excel ▪ Internet /Email ▪ Data Protection & Anti Money Laundering awareness ▪ Good knowledge of regulatory products and service design ▪ Good knowledge and understanding of all Complaint 	<ul style="list-style-type: none"> ▪ Regulatory compliance including and not limited to MIFID II, DP, AML, CASS, DISP

	<ul style="list-style-type: none"> ▪ Handling DISP rules ▪ Good knowledge of SQ&C methodology 	
Skills and Application	<ul style="list-style-type: none"> ▪ Professional and focused work attitude ▪ Team worker ▪ Strong problem-solving, decision-making and negotiating skills ▪ Excellent interpersonal and communication skills at all levels. ▪ Strong listening skills, able to probe for additional information ▪ Strong attention to detail ▪ Good prioritisation, organisational & time management skills ▪ 	<ul style="list-style-type: none"> ▪
Personal Skills and Behaviours	<ul style="list-style-type: none"> ▪ Confident presenter ▪ Tenacious and highly motivated ▪ Innovative and resourceful ▪ Energy, drive enthusiasm and a willingness to 'roll up sleeves' to get things done ▪ Approachable; proactive; dedicated; professional; confidential; ability to remain impartial ▪ Able to work on own or as part of a team ▪ Respects role boundaries ▪ A passion for customer service and delivery of results through people ▪ A willingness to stay abreast of external best practice in both complaint management and Service Quality ▪ Ability to build and maintain excellent and positive relationships with internal and external stakeholders to achieve excellent service 	<ul style="list-style-type: none"> ▪