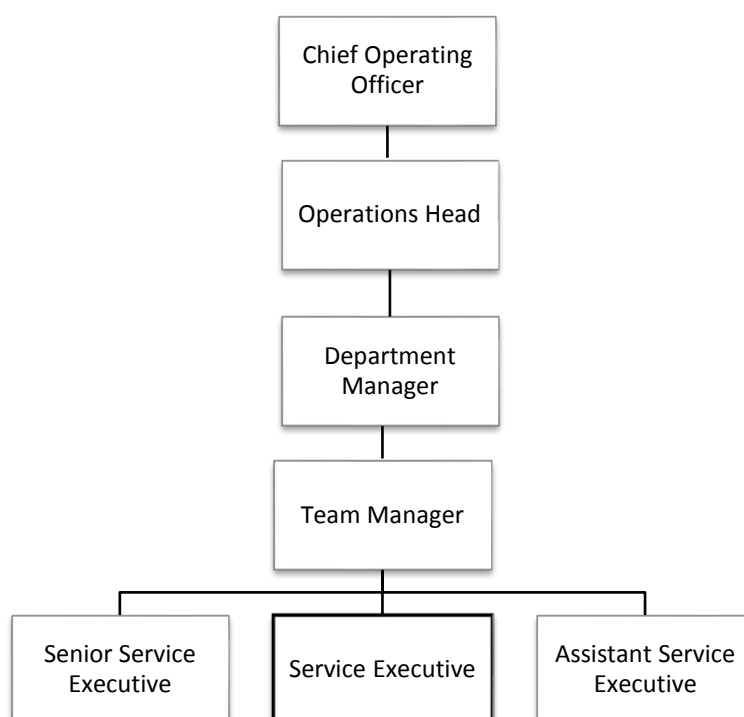


Job Ref No. 001

Job Title:	Service Executive		
Department:	Operations – Salisbury		
Job Holder:			
Reports to:	Team Manager		
No of Direct Reports:	0		
Date created/changed:	08/2017		
Version:	V1.1	Job Level:	6

Organisation Chart:



Job family: the Service Executive role is part of the ‘Administration roles’ job family within Operations, which also includes Assistant Service Executive and Senior Service Executive. The administration roles report to a Team Manager.

Job Purpose/Summary:

Service Executives work as part of a team responsible for administering JHP products and services in line with product Terms & Conditions, and in accordance with company policies and procedures, and relevant regulatory requirements.

Each team completes processes for a specialist area of administration depending on the operational department the team resides in. Details of each team’s specific responsibilities can be found in the Operations Team Responsibilities document).

Main Accountabilities

Service Accountabilities

- Representing James Hay Partnership in a professional manner and producing work of the highest standard.
- Developing good working relationships with all investors, advisors, third parties and internal teams. Dealing with all queries by telephone, email, and letter as appropriate.
- Administer work generated by investors, advisers and internal instructions within agreed service levels.

- Provide good customer service, taking ownership of work, any issues arising, fixing them promptly and escalating when appropriate.
- Go the extra mile; be an advocate for the investor.
- When processing use clear, concise communication (verbal & written) that is appropriate for the audience, ensuring relevant products, services and charges are explained.
- Accurately updating systems to reflect work received or carried out ensuring investor records are maintained.
- Work efficiently in an organised manner.
- Highlight process improvement ideas to your line manager.

Regulatory Accountabilities

- Awareness of JHP's regulatory responsibilities and the associated operational controls in place.
- Working within the defined company and regulatory policies and procedures as well as the Risk and Governance framework.

Learning & Development

- Take personal responsibility for your learning and development.
- Be willing to support other team members learning and development.
- Be responsible for completing all mandatory training and to do so within required timescales
- Gain experience training other members of the team on business policies, products and team processes.
- Work to achieve targets for role progression to Senior Service Executive. The targets are:
 - Competent in all processes within the team you reside.
 - Gained work experience in other teams over a period of 3 months.
 - Quality 95% right first time in all team processes (no more than one red or amber metric per quarter, a maximum of three per year).
 - 100% productivity in all team processes (no more than one red or amber metric per quarter, maximum of three per year).
 - TIBERS (Breaches, Errors & Complaints) – not more than one per quarter, maximum of three per year.
 - Behaviours – demonstrate that you are achieving the required standards.
 - Completion of mandatory training on time; maintenance of T&C file; not more than one clear desk failure in a six month period.

Job Dimension/Scope:

The post holder is responsible for managing relationships with our Advisers and Investors and resolving service issues that have been escalated.

Reporting to a Team Manager and working within a department varying in size from 20 – 40 people. The post holder, in addition to maintaining and building relationships with investors and advisers will analyse service levels to enhance our Investor Outcomes.

This role requires enhanced vetting as per the Referencing and Staff Vetting Policy.

Demonstrate Our Values:

- Thinking Investor
- Working as a Team
- Doing the right Thing
- Taking Responsibility

Demonstrate Our Behaviours:

- **Confident:** assured, calm, sure of yourself, assertive, positive, self-reliant, independent and resourceful.
- **Professional:** competent, expert, specialist, qualified, proficient, skilled, trained, licensed.
- **Progressive:** enlightened, advanced, innovative, “thinking outside the box”, challenging minds, continuous improvement.
- **Engaging:** participating, involving, interested before interesting, likeable, rational, and empathetic.

How you achieve positive Investor Outcomes in your role:

- **Investor Outcome 1:** *Ensure James Hay is a safe and secure business to use for Investor's retirement and wealth management needs.*
By demonstrating you:
 - Understand the need for and requirements for safeguarding investors' assets.
 - Comply with policies and procedures that ensure the safeguard of investors' assets
 - Identify and escalate incidents that could impact on JHP's ability to operate and deliver investor outcomes
 - Understand the need to protect investors' personal and sensitive information and not put investors at risk of fraud
 - Understand the importance of only dealing with authorised advisers
 - Understand the challenges and requirements for dealing with Non Standard Investments
- **Investor Outcome 2:** *Ensure the Investor is confident James Hay acts with integrity and ensures their interests as an investor are placed first at all times.*
By demonstrating you:
 - Comply with policies and procedures that demonstrate and ensure investors interests are first
 - Make decisions that demonstrate investors' interests are first
 - Ensure investors are not disadvantaged by the preferential treatment of other investors
 - Believe that JHP acts with integrity
- **Investor Outcome 3:** *Ensure the investor understands the information provided by James Hay and is empowered to make effective and informed decisions.*
By demonstrating you:
 - Are able to explain the features of JHP's platform proposition
 - Understand what is / isn't financial advice and that giving investors factual information is not advice
 - Are skilled in explaining and communicating technical aspects clearly to retail investors and advisers, whether written (web, literature) or oral (through contact centre)
 - Know what you can and can't help and support an investor with
 - Understand the advisers' role in providing independent advice to retail investors
- **Investor Outcome 4:** *Ensure the Investor can easily log-in 24/7 to use a stable and reliable platform.*
By demonstrating you:
 - Understand how denial of access can lead to investor detriment
 - Identify, prioritise, escalate and resolve incidents and issues with system reliability (e.g. latency / outages)
 - Understand and explain platform functionality to investors (written and contact centre)
 - Know how to resolve access issues for investors & advisers
 - Understand and explain platform functionality to advisers (written, contact centre and face to face)
- **Investor Outcome 5:** *Ensure the Investor has access to functionality and tools which are easy to understand and use, and processing capability that enables them to the action I want to take, when I want to take it.*
By demonstrating you:
 - Understand and explain clearly platform functionality to investors and advisers
 - Are able to explain the risks to investor outcomes in their business area
 - Understand your personal role in delivering investor outcomes
 - Hold skills and expertise to manage processes and deliver quality outcomes
 - Comply with policies and procedures
 - Process investors' and advisers' instructions on time and right first time
- **Investor Outcome 6:** *Ensure the Investor believes James Hay's charges are clear, transparent and applied fairly to their account.*
By demonstrating you:
 - Understand and able to explain clearly to investors JHP's charges and able to justify them (written and oral)

- Understand we can make fair and reasonable charges e.g. exit charges
 - Believe JHP's charges represent a fair exchange of value for investors
 - Ensure Charging errors identified by JHP are corrected and redressed promptly
 - Ensure Investor and adviser complaints about JHP's charges are identified and resolved effectively, fairly and promptly
 - Understand and explain clearly to advisers JHP's charges and be able to justify them (written and oral)
- **Investor Outcome 7:** *Ensure the Investor can see easily if their James Hay portfolio is on track to support their overall retirement and investment goals.*
By demonstrating you:
 - Understand the importance of valuations being accurate and updated per T&Cs
 - Understand limitations for Non Standard Investments
 - Provide clearly written literature
 - **Investor Outcome 8:** *Ensure the Investor can easily transfer from / to another platform provider and close their account.*
By demonstrating you:
 - Understand reasons investors transfer to another platform provider
 - Process instructions accurately and on a timely basis
 - Ensure transfer errors and delays caused by JHP are identified and fixed to ensure no investor detriment
 - Understand how to identify complaints about transfers and what to do with them (ref outcome 11)
 - **Investor Outcome 9:** *Ensure the Investor is in control and understand their options and the risks when taking their retirement funds as retirement income or ad-hoc withdrawals.*
By demonstrating you:
 - Understand the investor journeys, the risks inherent in it and can explain it to investors and advisers
 - Execute instructions from investors and advisers right first time
 - Understand complexity and limitations of Non Standard Investments
 - **Investor Outcome 10:** *If James Hay causes something to go wrong, the investor knows you will fix it on a timely basis and be looked after.*
By demonstrating you:
 - Understand what you are able to fix and resolve
 - Understand the needs of vulnerable customers and takes them into consideration
 - As an employee know what to do and where to get help
 - Support operational teams working well together, understand the hand-offs between teams and are focused on investor outcomes
 - Learn from errors and make changes where necessary
 - **Investor Outcome 11:** *Ensure if the Investor makes a complaint it is dealt with effectively, fairly and resolved promptly.*
By demonstrating you:
 - Understand how to identify complaints and what to do with them
 - Understand the needs of vulnerable customers and takes them into consideration
 - Understand their individual role in preventing and revolving complaints
 - Learn from complaints and make changes where necessary

Job knowledge, skills, qualifications and experience required:

You will display the following attributes:

- Willingness to try new things and embrace change
- Reliable and punctual
- Strong organisation skills and capacity to multi task
- Strong communication skills with the ability to articulate complex information
- Positive and Professional attitude
- Problem solver
- Demonstrate initiative

Essential

- Minimum of 12 months experience in a Financial Services administration role
- Proven investor service skills, strong written and verbal communication.
- Good numerical skills, with an eye for detail.
- A flexible attitude with a willingness to go the extra mile.
- A team player but able to work independently using your initiative.
- Good analytical and problem solving skills.
- Ability to work independently and use initiative
- Excellent time management and the ability to work to deadlines.
- Computer literate, good Microsoft Office knowledge.
- Educated to GCSE level with Maths and English grade C or above.

Desirable

- Knowledge of James Hay products, systems and procedures.
- Knowledge of the SIPP, Pension, other non SIP investments (such as ISA or GIA) and the Financial Services market.

Key working relationships and external/internal contacts:

- Peers/Team Managers/Investors/Advisers