

# Job Specification

<b>Job Title:</b>	Compliance Manager
<b>Reports to:</b>	Head of Business Assurance
<b>Purpose of the jobs:</b>	To aid TPT's understanding of and compliance with legal and regulatory requirements incumbent on the firm.

## Areas of Responsibility:

1. To develop and take ownership of the TPT's vision, Business Plan and values, and to be totally committed to these.
2. Developing and maintaining TPT's Compliance framework, including but not limited to: policy documentation (role and mandate), the compliance monitoring methodology and framework, horizon scanning, reporting and output.
3. To ensure that the management of the firm is aware of its responsibilities and obligations in conducting business in conformity with rules and regulations so as to maintain the firm's reputation. These include but are not limited to Pensions Law (New General Code and DC Master Trust requirements), UK General Data Protection Regulation, the Data Protection Act and the FCA.
4. Support the design and delivery of TPT's regulatory Training and Competency Scheme with key focus on data protection and pensions knowledge and awareness.
5. Design and deliver the organisations Compliance Monitoring Programme, (CMP) ensuring that reviews and regular monitoring activities provide assurance over TPT's ongoing compliance at an operational level. Delivery of the CMP will incorporate scoping, testing, documenting and reporting, and tracking the completion of agreed actions arising from issues identified.
6. Responsible for the production and presentation of compliance reporting to appropriate governance forums; Risk Committee, Audit, Risk & Compliance Committee, DC Oversight Committee, Executive Board.

7. Design and delivery of the organisation's 'horizon' monitoring of regulatory change and aiding the firm's understanding and compliance status.
8. Design and delivery of the organisation's regulatory consultation responses, including the escalation of relevant consultations and the facilitation of TPT's response.
9. Working proactively with other teams to ensure that key compliance risks are understood and subjected to appropriate compliance oversight.
10. To provide technical support on matters relating to legal and regulatory compliance, this may include but is not limited to review of complex queries and participation in change initiatives.
11. Supporting the development of current and new products in a compliant manner.
12. To act as a key liaison officer between TPT and its regulators.
13. To oversee and complete the preparation of reports for key regulator relationships, including the Pension Regulator, FCA, and ICO.
14. To perform all duties in line with the TPT's Information Security policy.
15. To comply with the Data Protection Policy when dealing with personal data in the course of employment including personal data relating to any employee, customer, client, supplier or agent of the Company.
16. To act as an ambassador of TPT at all times.

Performance & Engagement Factors	Essential	Desirable
Job & Technical Factors	<ul style="list-style-type: none"> <li>• Proven experience of operating within a Compliance function of a pension provider regulated by the Pensions Regulator</li> <li>• Detailed knowledge of relevant regulation, including Pensions Regulation, the FCA Handbook, the UK General Data Protection Regulation and the Data Protection Act 2018.</li> </ul>	<ul style="list-style-type: none"> <li>• Experience of designing and developing a Compliance framework.</li> <li>• Experience or involvement with pension's compliance activity, including the management of technical queries.</li> </ul>
Engaged Behaviour	<ul style="list-style-type: none"> <li>• Passion for keeping up to date with emerging regulation.</li> <li>• Demonstrates enthusiasm for the job.</li> <li>• Able to work on own initiative.</li> <li>• Willing to develop and extend own pensions and regulatory knowledge.</li> </ul>	<ul style="list-style-type: none"> <li>• Ability to embrace and adapt to changes within the workplace</li> </ul>
Values	<p>Acts in line with the values:</p> <ul style="list-style-type: none"> <li>• Inclusive</li> <li>• Integrity</li> <li>• Innovative</li> <li>• Customer focused.</li> <li>• Cost effective.</li> <li>• Committed</li> </ul>	<ul style="list-style-type: none"> <li>• Knowledge of TPT's values.</li> </ul>
Systems and Processes	<ul style="list-style-type: none"> <li>• Experience of Microsoft word and excel</li> </ul>	

<b>Customer Care</b>	<ul style="list-style-type: none"><li>• Professional approach.</li><li>• Clear understanding of what constitutes good customer service.</li><li>• Good communication skills both oral and written.</li></ul>	
<b>Performance Factors</b>	<ul style="list-style-type: none"><li>• Demonstrates attention to detail in all aspects of work.</li><li>• Methodical.</li><li>• Able to prioritise own workload.</li><li>• Committed team player.</li></ul>	

Team Member  
March 2019