

JOB SPECIFICATION	OPERATIONS MANAGER
COMPANY	Wealth management, providing independent financial advice to individuals and families.
LOCATION	Offices in Sutton Coldfield
JOB PURPOSE	To take full responsibility for all aspects of the management, recruitment, development and performance of the client services team, ensuring a first class service, compliant with FCA regulations. Also incorporating some paraplanning, being flexible in the split of management and paraplanning activities.
RESPONSIBLE TO	Managing Director
RESPONSIBLE FOR	The direct management and performance of the client services team and working collaboratively with our investment advisers and external partners.

OPERATIONS MANAGER – ROLE SUMMARY

This is a long-term career opportunity for a qualified and experienced Manager & Paraplanner who thrives on the coordination of resources and delivery of excellent client service.

We need someone who can gain the complete trust of the Oaklands Board of Directors, while building respect from the Client Services team they will manage and the firm's Investment Advisers.

JOB DESCRIPTION

Competencies – What you will need to do:

The emphasis is on managing the team and taking full operational responsibility for the quality and efficiency of service delivery on behalf of the Directors.

It requires a proactive approach to delivering the highest quality client service, anticipating operational challenges and nurturing staff to work effectively as a high performing team.

The manager is responsible for embedding a culture of lean process and continuous improvement amongst all staff and using their strengths to best effect in serving clients.

There are 5 specific management tasks required of you:

1. Being fully responsible for all aspects of planning and delivery of the client services, compliance and related operations, leading on the assignment of resources, identifying training needs and ensuring excellent and consistent client service.
2. Identifying the strengths and preferences of individual team members to build an expanding client services team, being proactive in the use of DISC profiling and personal reviews to get the best fit between skills and role requirements.
3. Forward resource planning for administrators, paraplanners and other adviser support staff given prevailing rate of growth and client and compliance demands.
4. Reporting regularly to the Oaklands board on resource requirements, presenting a brief business case for new staff and team structure and talking through the options and recommendations.
5. Ensuring the advice team is properly supported with timely administration and technical back-up.

Overall Responsibilities

1. Staff Recruitment and Development

- a. managing the workflow of the client service team and delegating tasks
- b. regular personal development reviews of all of the client services team
- c. annual pay related reviews of the client service team
- d. agreeing and reviewing staff contracts, working time and leave calculations
- e. forecasting staff capacity requirements and building a suitable team structure
- f. managing short term capacity issues using temporary staff arrangements
- g. training and developing staff consistently in all office processes and systems
- h. recruiting and selecting client services staff against specific role requirements
- i. implementing disciplinary action on serious staff matters, with legal advice

2. Service Delivery

- a. reviewing office processes to ensure lean and effective operations
- b. timely and efficient delivery of new business and client reviews
- c. effective prioritisation of the workload with workflow planning & monitoring
- d. ensuring 100% accuracy of clients' portfolios and error free documents
- e. cultivating good relationships with providers, consultants and partners
- f. answering technical questions from clients wherever advice is not required
- g. ensuring office accommodation, IT and other support systems are fit for purpose

3. Quality Control and Compliance

- a. embedding a quality checking approach of all client portfolios, documents and communications
- b. coordinating annual ISO, British Standard and other quality inspections.
- c. reviewing British Standard requirements and the operations manual throughout the year
- d. compliance audits on files in collaboration with our compliance consultant
- e. handling complaints and compliments, recording and taking appropriate action
- f. coordinating an annual client survey and using feedback to improve services

4. Monitoring and Reporting

- a. daily monitoring of tasks allocated to the client services team for accuracy and timeliness
- b. weekly workflow planning with the team, reporting progress to the Managing Director
- c. monthly reporting to the Board on resource, workflow and compliance issues
- d. maximising the use of IT and systems for progress tracking and reporting

5. Paraplanning

- a. drafting client suitability reports for pension and investment portfolios.
- b. producing pension and investment projections for clients
- c. working collaboratively with the Investment Advisers to ensure a consistency of approach

OPERATIONS MANAGER – SKILLS, EXPERIENCE & QUALIFICATIONS

You must have:

- An appropriate Level 4 Financial Planning qualification.
- In-depth working knowledge of pensions and investment solutions, terminology and processes.
- The ability to quickly analyse and interpret complex financial information and client situations.
- An excellent standard of written and spoken English and be highly numerate.
- A high level of computer literacy to be able to operate all the company's systems software efficiently.
- At least 10 years relevant experience within a pensions and investment environment – with at least 5 years of paraplanning and 5 years of managerial experience.
- A desire to study and learn new skills and qualifications to enhance your role as Operations Manager.

OPERATIONS MANAGER – PERSON SPECIFICATION

There are some essential characteristics you need to meet, for this role to be a good fit for you:

Sense of Humour: Things don't always go to plan. And we spend a lot of time at work, so you need to contribute to a cheerful working space. Mood swings don't go down well with anyone here. Laughter does.

Resilience: Clients and team members can be demanding and most days you'll have to keep many plates spinning. You'll need the gumption to keep going, keep smiling and still give an outstanding service to clients.

Organisational ability: You'll need both a calm head and sense of urgency to complete tasks and effectively prioritise the workflow, keeping a sensible balance between planned review work and new business.

Team player: Yes, you need to have bags of initiative to manage and develop your direct reports; just as importantly you need to help nurture the team spirit throughout the office.

Ability to listen and learn: None of us know everything or have all the answers. To understand clients and your colleagues you need to listen attentively and be open to different views. You need to want to carry on learning.

Conversational skills: Clients and team members need to trust you to work well with you, however technically proficient and experienced you think you are. You'll need to listen to the things that are important in their lives and be able to articulate what's important in yours, so they get a measure of you as a person too.

Desire to serve: You'll need to truly want to serve our clients and your team and genuinely get a kick out of it. The critical success factor of this role will be the rapport you build with the Directors, the team and our clients. It can be summed in one word – Trust, which can only be earned.

Prepared by

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