
JOB DESCRIPTION

Job Title: Financial Intelligence Quality Assurance Manager

Grade: D

Department: CAF Bank

Main purpose of job:

- Complete retrospective quality reviews to ensure policies and procedures have been followed
- Proactively feedback and liaise with the Financial Intelligence Managers and Team Leaders to improve processes and customer experience
- Work with the Financial Intelligence Managers and Financial Crime Subject Matter Expert to explore opportunities for improvement

Responsible to: Financial Crime Subject Matter Expert

Budgetary responsibilities: None

Responsible for (staff/jobs): None

Key Job Responsibilities:

- Assist in ensuring a robust Quality Control framework is in place for the management of all KYC/AML activity, including enhancement and modification to cater for any changes in regulation or policy
- Complete retrospective quality assurance reviews on all Financial Intelligence activity to ensure processes and policies have been adhered to
- Review cases to ensure the content of the case files and recommendations are clear, complete and supported by the required information
- Identify problem areas and risks associated with processes and make recommendations to improve quality and efficiencies
- Produce MI for Senior Management in respect of quality which can be reported at committee meetings
- Respond promptly to requests for advice or information from CAF Bank management, internal/external auditors or the regulatory or law enforcement bodies
- Support the Senior Management team in strategic and forward planning for the Financial Intelligence team and wider Bank
- Deliver feedback and organise training for the team through mentoring, coaching and use of external services
- Help create an environment in which the team takes ownership by following correct actions, pro-actively driving change and making decisions to deliver high level quality
- Report performance to the Financial Crime Subject Matter Expert and work with peers to design detailed plans for improvements

- Identify gaps in risk controls and work alongside the Financial Intelligence Management team and Financial Crime Subject Matter Expert to understand the risks and strengthen controls
- Be proactive in the suggestion and development of new work processes and procedures, assisting with the implementation of solutions where required
- Where necessary, working side by side with the Financial Intelligence Management team at peak times to ensure workloads are kept within service level agreements.
- Drive a conduct culture through the KYC Team and through the Bank, ensuring the right customer outcomes.
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CAF Values and Behavioural Indicators

The CAF Values and Behavioural Indicators set out in a transparent and consistent manner the explanation of the performance expectations of all CAF People. Through the use of common language and common standard, it combines a set of behaviours with the required technical skills and knowledge needed to effectively perform in any given role in CAF. This is used for the assessment, management and development of performance of all our people across CAF

Please refer to the link: [CAF values and indicative behaviours](#) for the CAF Values and Behavioural Indicators.

Dated: February 2023

PERSON SPECIFICATION

Job title: Financial Intelligence Quality Assurance Manager

Date: February 2023

Attributes *	Essential ✓	Desirable ✓	How Evidenced [†]
Experience <ul style="list-style-type: none"> • Sound knowledge of UK regulatory environment in relation to Know Your Customer; • Fully trained to an advanced level in Anti Money Laundering • Previous employment to include Customer Service and regulated services • Managing customer expectations and developing customer relationships • Providing feedback on quality matters 	✓ ✓ ✓ ✓ ✓		A/C/T
Qualifications <ul style="list-style-type: none"> • ICA certificate or diploma in AML or equivalent, or commitment to study towards a qualification • Minimum GCSE standard of education particularly numeracy and literacy 	✓ ✓		A/E
Training <ul style="list-style-type: none"> • Any relevant courses, workshops, seminar or other training relating to, customer service, AML, time management, financial crime investigation, communication, handling complaint or difficult situations, and capability and performance monitoring 	✓		A/C/T
Specialist Skills/ Ability/Knowledge <ul style="list-style-type: none"> • Knowledge of UK anti-money laundering regulations and Counter Terrorist Financing controls • Computer and Web Literate • Knowledge of charity law and charity tax law in the UK • Proven ability to manage multi tasks, aggressive deadline, work under high pressure • Strong analytical/problem solving skills • Willing to take ownership and work independently with minimal supervision 	✓ ✓ ✓ ✓ ✓ ✓	✓	A/C/T
Communication <ul style="list-style-type: none"> • Competent in communicating at all levels verbally and written • Competent in dealing with complex queries and complaints 	✓ ✓		A/C/T
Personal Qualities <ul style="list-style-type: none"> • Assertive • Ability to work to tight deadlines • Analytical • Attention to detail • Personal drive to exceed targets • Diplomatic • Positive can do attitude • Problem solver 	✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓		A/C/T
Special Conditions <ul style="list-style-type: none"> • Willingness to travel, some London or other UK occasional travel will be required, ability to be flexible in working hours 	✓		C
Prior to Appointment All posts:			R/E

<ul style="list-style-type: none"> • Credit Check • Dow Jones Check • Basic DBS Check • Employment References • Medical Clearance • Right to Work in the UK 	✓ ✓ ✓ ✓ ✓ ✓		
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Key

R = References, **E** = Evidence/Certificates, **A** = Application, **C** = Competency Interview. **T** = Testing/Assessment