

fidelius.



Training & Competency
(T&C) Manager

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Function	Training & Competence
Reports to	Head of Governance, Risk & Compliance
Line Reports	2 reports - T&C Supervisors
Purpose of Role	<p>To manage the T&C function and support the line management of Financial Planners, Mortgage Advisers, Employee Benefit Consultants, including Appointed Representatives (advisers), within the Group to deliver training and monitor competency in line with FCA regulations and the company's T&C Scheme. Ensure internal policies and FCA regulatory requirements are adhered to across the Group.</p> <p>To adhere to Company T&C Scheme.</p> <p>To ensure that internal policies and procedures are adhered to and FCA regulatory requirements are met across the Group.</p>

Key responsibilities

1. Training & Competence

- Management of T&C Supervisors, ensuring the Group complies with the best business practices and regulatory requirements.
- Responsible for the ongoing maintenance of the company T&C scheme and maintain and report useful MI to senior management.
- Oversee the T&C of regulated and other individuals within the Group, ensuring compliance with business practices and regulatory requirements.
- Identify key areas for development within the advice process and address knowledge or skill gaps through tailored training.
- Maintain, update, and review T&C records and processes to ensure accuracy and compliance.
- Support line management in supervising Financial Planners, Mortgage Advisers, and Corporate Financial Planners through observed meetings, 1-2-1 development sessions, coaching, and feedback.
- Develop new or trainee entrants to achieve full CAS status within a reasonable time.
- Work with Compliance, Business Quality, Regional Sales Directors, HR, and other departments to ensure consistent training and monitoring of the advice process.
- Report findings from monitoring and observations, making recommendations for improvements and ensuring follow-up.
- Agree on, implement and deliver training plans for advisers across the Group, and deliver and/or arrange training sessions in both group settings and individually.
- Identify changes required to administrative and business processes due to policy decisions, initiatives, or regulatory changes.
- Monitor transactions across the business to ensure compliance with company benchmarks and FCA regulations.
- To report material breaches to the Head of Governance Risk and Compliance.
- Use of VouchedFor feedback and data to identify training opportunities that will improve service delivery, Financial Planner performance, and ratings.

2. Regulatory Awareness

- Keep up to date with regulatory developments, particularly those affecting T&C requirements.
- Identify and escalate any issues that may adversely impact the business.
- Ensure compliance with all regulatory requirements, including Consumer Duty, SM&CR, Data Protection, and FCA regulations.
- Develop and maintain knowledge of FCA-regulated product ranges, service providers, investment platforms, and FCA Principles and Rules.
- Stay informed about relevant rule books, regulations, and codes applicable to the company.

3. Project Work

- Participate in projects related to the role or the Compliance and Business Quality Teams as necessary.
- Compile regular and ad-hoc reports as requested.
- Ad hoc tasks to support the Head of Governance Risk and Compliance.

Knowledge, Skills and Competencies

- Full-time, hybrid role.
- Frequent travel and occasional overnight stays may be required between Fidelius offices and other locations as deemed necessary to carry out the role.
- Previous experience in a similar role within the Financial Services industry.
- Good working knowledge of Microsoft Office products including Word, Excel, Outlook and PowerPoint.
- Experience of delivering accurate, relevant and timely information.
- Experience of critical thinking and analysing situations.
- Minimum level 4 Diploma in Regulated Financial Planning (DipPFS or DipFA).
- Working knowledge of FCA Principles and Rules.

Our Ways of Working

Accountable

- Takes ownership and accountability for their actions and tasks.
- Steps outside of comfort zone to learn and develop.
- Organised and efficient, manages their own time effectively and prioritises to maximise productivity.
- Keeps promises and delivers what they say they will.

Collaborative

- Is inclusive, respectful and supportive of others.
- Listens and takes on-board the views of others.
- Communicates in a timely and effective manner for the best outcomes.
- Shares knowledge and experiences to improve results.

Inquisitive

- Seeks opportunities to create efficiency and improve ways of working.
- Appropriately challenges ways of working.
- Willing to understand different ways of working in different teams.
- Confidently and constructively questions processes.

Transparent

- Honest and trustworthy, treating everyone with respect.
- Straightforward with communication.
- Clear and concise with others at all times.

Aware

- Is aware of the impact of their own actions, styles and behaviours on others.
- Gives support, praise and feedback to others in a constructive manner and receives feedback or challenge graciously and with an open mind.
- Reflects on feedback received to develop themselves.

Adaptable

- Embraces and positively endorses change, finding ways to support the situation.
- Demonstrates flexibility where priorities or deliverables need to change and takes responsibility for continuous review.
- Adopts a flexible approach to projects, tasks and others.

Determined

- Has a can-do attitude.
- Takes responsibility for their own development.
- Copes effectively under pressure.
- Delivers on promises, expectations, roles and responsibilities



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