

## JOB DESCRIPTION

**Role :** Compliance Manager, Private Clients, Tax      **Reporting to :** Partner & Director.

**Team :** Private Clients, Tax

### Overview of role

Managers are responsible to Partners for the smooth running of their groups and for ensuring that technical work under their control is carried out in accordance with the firm's high standards and current procedures.

Managers are expected to assist Partners in meeting the firm's strategic aims, marketing and commercial objectives. Assisting Partners and Directors in the administration and overall performance of their groups and the affairs of the firm generally to help initiate change and continuous improvement.

### Nature of work

Responsible for own portfolio of clients and for delivering first class advice and service for those clients and PEM staff. This role is predominantly compliance focus although the Manager will be expected to assist in presenting solutions to increasingly complex technical issues. The Manager role will include reviewing the team's work, working closely with Partners and Directors on complex compliance cases and assisting with technical and advanced planning for High Net Worth Individuals and families. Managers should assist the Partner in managing the team, including day to day monitoring of the workloads, work in progress, debtors, training needs and general business development.

### Main responsibilities and duties

#### Technical

1. Acting as private client compliance tax specialist giving advice to clients and PEM staff on various personal tax issues and assignments.
2. Dealing with routine correspondence concerning client's affairs on a timely basis.
3. Reviewing their clients' and highlighting opportunities for additional work.
4. Seen as technical compliance reference point (for private client issues).
5. Assisting Partners and Directors with detailed and more complex work on assignments when necessary.
6. Accurately interprets advice obtained from other specialists and questions where required.
7. Having a comprehensive knowledge of subject, keeping up to date with tax legislation changes, HMRC practices and current tax planning ideas and ensuring appropriate dissemination of such information.

#### Managerial

1. Ensuring that own compliance work is dealt with in accordance with the Tax Department standardisation procedures.
2. Increasing morale in the group including communication to Partners/Director of specific staff concerns.
3. Assisting in the performance appraisal scheme when necessary and identifying staff's strengths and weaknesses and training needs, ensuring formal communication between partners and staff is optimised, including highlighting the future direction of PEM (by group meetings, distribution of literature, etc).
4. Overseeing technical training needs within department where necessary.
5. Active membership of firms' committees as appropriate.
6. Manages work in progress to ensure recoverability targets are met.
7. Monitors debtors in a timely manner to ensure aged debtors do not escalate.
8. Assisting with maintaining group work programmes and monitoring jobs awaiting completion when necessary.

9. Assisting with monitoring own and staff compliance with chargeable hours targets when necessary.
10. Ensures bills are raised and costs are collected on a timely basis. Meets own financial targets set.
11. Generally ensuring that firm's quality assurance procedures are maintained, and that client care is exceptional.

#### Commercial

1. Staying up-to-date on the latest technical developments and what services the competition is offering and sharing information with the partners and staff.
2. To identify marketing opportunities both for additional services with existing clients and introducing new clients to the firm.
3. Help to produce proposals (where necessary) to help win new and profitable business.

#### Client and client service

1. Builds rapport with the individual clients and develops a clear understanding of their expectations.
2. Meets client demands, keeping them up to date with progress and engages trust and respect.
3. Deals with a wide range of technical issues and client situations.
4. Provides intelligent and creative solutions to tax issues both reactively and proactively.
5. Writes high quality communications (emails, letters etc.), professionally presented documents, requiring minimal input from partners and directors.

#### New client / risk management

1. Has sound awareness and adherence to the firm's risk management processes and procedures.
2. Ensures compliance with internal procedures including the completion of new client procedures.
3. Mitigates risk through review and involvement of senior people.

#### Teamwork

1. Works effectively with all members of the team, building confidence and respect of peers and subordinates.
2. Shares knowledge and information with the team and other groups.
3. Providing on the job training when required.
4. Encourages team members to be positive and to give their best in line with firm's goals.
5. Mentors the team giving feedback and provides development opportunities.
6. Demonstrates an appetite for self development through the appraisal process.
7. Reviews work for learning points and client service.

#### Person specification

##### Essential

Education/qualification

CTA

Experience

Sound proven compliance and technical knowledge  
Post qual experience  
Proven Management skills

#### Specific or general comments

Keep technically up-to-date particularly in those areas in which you and other tax staff are involved daily and maintaining personal CPE records. Continue to gain expertise in other areas such as commercial and personal skills.