

**CANDIDATES' INFORMATION BOOKLET
PLEASE READ CAREFULLY**

The Pensions Authority is an equal opportunities employer

Assistant Principal Officer – Compliance

The Pensions Authority

Title: Assistant Principal Officer – Compliance

Employer: The Pensions Authority

Salary: €65,837

Level: Assistant Principal Officer (Standard Scale)

Post: One full time post.

The Pensions Authority is seeking to recruit an Assistant Principal Officer to work in the Compliance Unit of the Authority.

There may also be additional permanent and/or temporary post(s) at Assistant Principal level that the Authority may fill from a panel which may be established as part of this recruitment process.

Tenure: Permanent (subject to satisfactory completion of probation)

Email: careers@pensionsauthority.ie

Closing date and time: **12 noon on Friday, 6 July 2018**

The Pensions Authority

The Pensions Authority (the Authority) is a statutory body set up under the Pensions Act, 1990 as amended (the Act). The Authority regulates occupational pension schemes; trust RACs and Personal Retirement Savings Accounts (PRSAs) in Ireland. The Pensions Authority's mission is to:

1. foster public confidence in pensions by regulating pension schemes and PRSAs effectively and efficiently.
2. support pension scheme trustees and the public through providing guidance and information.
3. provide expert advice to the Minister for Social Protection to help inform policy development.

The Authority supervises 160,000 occupational pension schemes with over 900,000 private and public sector pension scheme members and 230,000 Personal Retirement Savings Accounts (PRSAs) contributors: together these comprise over €100 billion of retirement savings.

The Compliance Unit

The Compliance Unit is responsible for supervising the compliance of all regulated entities with the Act. In addition, the Compliance Unit has responsibility for registering and approving PRSA products, and for approving and renewing the registration of Registered Administrators. The Unit acts both reactively – in response to whistle blows and reports – and proactively in accordance with targeted and themed audits, inspections and face-to-face engagement. The Unit is also heavily involved in the preparation of case files for prosecution and other sanctions arising from non-compliance with provisions of the Act.

Reporting structure

The Assistant Principal will report to the Head of Compliance.

The role

The main duties and responsibilities of this role include:

- Managing supervisory teams to carry out core regulatory activities of audits, on and off site inspections and face-to-face engagement with regulated entities;
- Developing programmes of regulatory activities based on the Authority's strategic agenda, best practice and ongoing review of existing practices;
- Leading on-site inspection teams, effectively co-ordinating and managing regulatory engagement meetings and overseeing regulatory investigations with an increased focus on analysing data and feedback from regulated entities;
- Inputting into enhancement of regulatory structures and procedures involving appropriate regulatory data that will deliver active oversight of the management of pensions schemes, both defined benefit and defined contribution;

- Translating high-level decisions and management goals into practical programmes of action for staff;
- Inputting into the development of training programmes to support the Compliance Unit in effectively implementing the Authority's supervisory, intervention and enforcement powers;
- Developing, managing and motivating teams and also working as a member of such teams;
- Effective direct representation of the interests of the Authority as appropriate with external parties (professional advisers to schemes, PRSA providers, relevant Government Departments and Agencies, EU institutions and committees, other regulatory bodies and representative organisations);
- Inputting into the co-ordination, planning and scheduling the work of the Compliance Unit to ensure the effective allocation of available resources to deliver high quality outcomes;
- Participating in the development of business strategies and policies and representing the Compliance Unit on cross-functional projects;
- Advising the Head of Compliance and/or senior management on the practical implications of key business decisions and proposals;
- Complying with any duties that may be assigned from time to time by the Unit Head or the Pensions Regulator.

The above is intended as a guide to the general range of duties and is intended to be neither definitive nor restrictive and is subject to review.

Requirements

Suitable candidates should be able to demonstrate:

- Knowledge of the Irish pensions and regulatory environment and or significant experience in a senior compliance role.
- An ability to challenge and motivate regulated entities to achieve improvements in behaviours and standards and to assert the Authority's position.
- Proven track record of leading projects and managing teams effectively.
- An ability to develop team members and help them achieve their potential through effective coaching and mentoring.
- Strong analytical skills, sound judgement and proven ability to deliver results.
- An ability to critically assess processes and procedures, identify improvements and manage change effectively.
- An ability to build and manage collaborative relationships both internally and externally.
- A qualification in pensions, regulation or compliance would be desirable.

A description of the general competencies for Assistant Principal Officers in the Pensions Authority and as expected in the Public Service is set out in **Appendix I**.

Application process

Interested candidates must submit an application form demonstrating how they meet the requirements of this position to careers@pensionsauthority.ie

Applicants must demonstrate in the application form, by reference to specific achievements in their career to date that they possess the qualities, skills and knowledge required for the role of Assistant Principal Officer as identified in the 'Essential requirements' and the Pensions Authority competency framework for Assistant Principal Officer (set out in Appendix 1).

Interested candidates must submit an application form as provided. Email applications must be marked in the subject heading as 'AP Compliance – your name'. **Failure to do so may result in your application being deemed ineligible.**

It is strongly recommended that you do not change your email address or mobile phone number in the course of this recruitment competition, as any correspondence will be through the email address/mobile phone number originally supplied by you.

Closing date

The closing date and time for receipt of applications is 12 noon, Friday 6 July 2018.

If you do not receive an acknowledgment of receipt of your application within 3 working days of the closing date please contact careers@pensionsauthority.ie Please note the requirement above relating to the email subject heading.

It is the Authority's policy that applications will strictly not be accepted after the closing time.

Selection process

Normally the number of applications received for a position exceeds that required to fill the vacancy. While candidates may meet the eligibility criteria of the competition, if the numbers applying for the post are such that it would not be practical to progress all candidates to the next stage of the selection process, the Authority may decide that a certain number only will be progressed to the next stage. Candidates will be progressed through the various stages of the selection process based on their order of merit at each stage.

The selection process may include:

- Short-listing of candidates on the basis of the information provided in the application to reduce the list of candidates for interview. It is therefore in your own interest to provide a detailed and accurate account of how your skills, personal qualities, qualifications and experience meet the requirements of the post
- The selection process may also include:

- a competitive initial / preliminary interview; and / or
- a competitive final interview(s); and / or
- a presentation or other exercise by the candidate
- Notification to attend interview will issue at least one week in advance. Candidates will be required to attend interviews at their own expense. **It is not possible to alter the allocated interview date or time.** Candidates who do not attend for interview when and where required, or confirm their acceptance of attendance at interview if requested, will have no claim for further consideration and their candidature will be deemed to be withdrawn.
- Candidates must produce satisfactory documentary evidence of all qualifications claimed by them, on request. Failure to produce such documentary evidence when requested may lead to disqualification from the competition and/or termination of contract. Therefore, it is advised that you have this documentation available to you when making your application.
- Any candidate who supplies false or misleading information in their application may be disqualified.
- The Authority will endeavour to keep candidates informed of the progress of their application at the earliest possible date.

Candidates should note that canvassing will disqualify and will result in their exclusion from the process.

Appointment from panel

Through this competition, the Authority may establish a panel of the successful candidates in order of merit. The panel will expire after a period of nine months from its establishment, or when it has been exhausted, whichever is sooner. Qualification and placement on a panel is **not** a guarantee of appointment to a position. Candidates not promoted at the expiry of the panel will have no claim to a position thereafter because of having been on the panel.

This panel does not apply to Assistant Principal vacancies requiring specialist legal, actuarial or other professional qualifications as may be determined by the Pensions Regulator. Such positions will be recruited for separately.

Please note that once an offer of appointment has been accepted and/or declined by a candidate, the candidate will no longer remain on the panel and the Authority may select another person for appointment on the results of the selection process. More detailed information will be provided to successful candidates.

General conditions of employment

Pay

Entry will be at the minimum of the Assistant Principal Officer (Standard Scale), which is €65,837 for persons appointed on or after 6 April 1995. The salary scale for the position is as follows:

For persons appointed to the public service after 6 April 1995:

€65,837 €68,216 €70,583 €72,957 €75,327 €76,693 €79,085¹ €81,485²

Long service increments may be payable after 3 (LSI-1) and 6 (LSI-2) years satisfactory service at the maximum of the scale.

Increments are normally awarded annually subject to satisfactory performance; however, payment of increments and or the rate of remuneration may be adjusted from time to time in line with Government pay policy.

Tenure

In the event of appointment to a permanent or temporary position with the Authority the appointee must serve a probationary period, which normally will last for 11 months. If at any time during this period it appears that the appointee would not be suitable for final appointment the probation will be terminated.

Hours of attendance

Hours of attendance will be fixed from time to time but will amount to not less than 43 hours and 15 minutes gross or 37 hours net of lunch breaks per week. The successful candidate will be required to work such additional hours from time to time as may be reasonable and necessary for the proper performance of his/her duties subject to the limits set down in the working time regulations. The rate of remuneration payable covers any extra attendance liability that may arise from time to time. Please note that hours of attendance may be subject to change from time to time in line with Government/local policy and practices.

Annual Leave

The annual leave allowance for the position of Assistant Principal Officer is 30 days per year. This allowance is subject to the usual conditions regarding the granting of annual leave in the Civil Service, is based on a five day week and is exclusive of the usual public holidays.

Business Travel

When absent from home and headquarters on duty appropriate travelling expenses and subsistence allowances will be paid subject to the normal Civil Service regulations.

Pension Entitlements

The successful candidate will be offered the appropriate pension terms and conditions as prevailing in the Authority at the time of being offered an appointment. In general, and except for candidates who have worked in a pensionable (non-single scheme terms) public service job in the 26 weeks prior to appointment, this means being offered appointment based on membership of the Single Public Service Pension Scheme (“Single Scheme”). Candidates will be notified of which scheme will apply to them, at the time of being offered an appointment.

The Single Scheme, as provided for in the Public Service Pensions (Single Scheme and Other Provisions) Act 2012, came into effect on 1 January 2013. From that date onwards, new public servants will be members of the Single Scheme, which will provide CPI-linked defined-benefit pensions based on career-average pay. The Scheme’s minimum pension age will be linked to the State Pension age (66 years initially, rising to 67 in 2021 and 68 in 2028). Retirement for most members will be compulsory on reaching age 70. For further information in relation to the Single Public Service Pension Scheme for Public Servants please see: <http://www.per.gov.ie/pensions>.

Pension Accrual

A 40-year limit on total service that can be counted towards pension where a person has been a member of more than one existing public service pension scheme will apply. This 40-year limit, which is provided for in the Public Service Pensions (Single Scheme and other Provisions) Act 2012 came into effect on 28 July 2012. This may have implications for any appointee who has acquired pension rights in a previous public service employment.

Pension-Related Deduction

This appointment is subject to the pension-related deduction in accordance with the Financial Emergency Measures in the Public Interest Act 2009.

Note

Candidates should note that different pay and conditions may apply if, prior to appointment with the Authority, the appointee is/was a serving civil or public servant.

The above represents the principal conditions of service and is not intended to be the comprehensive list of all terms and conditions of employment, which will be set out in the employment contract to be agreed with the successful candidate.

Appendix 1

Assistant Principal Officer Competencies	
Competency	Typical behavioural indicators
Team leadership	<ul style="list-style-type: none"> • Inspires, and motivates his/her team to build and sustain high levels of performance and achievement and addresses performance issues as they arise. • Clearly defines objectives, goals and metrics for team members explaining how their work contributes to the achievement of the organisation's strategy, delegating effectively encouraging ownership and responsibility for tasks. • Empowers others through ongoing feedback, coaching and creating opportunities for skills development. • Promotes a culture which values and supports collaboration and team work within and across units; supporting other units to meet their objectives at every opportunity.
Judgement, analysis and decision making	<ul style="list-style-type: none"> • Understands complex issues quickly and is able to deal with multiple information sources at once. • Researches issues thoroughly; consults and communicates appropriately across the organisation before taking decisions that may have an organisation wide impact. • Shows good judgment and makes timely, well-reasoned and evidence based decisions. • Considers the wider implications of decisions on a range of stakeholders. • Takes a firm position on issues s/he considers important. • Capable of defending and representing the views of the Authority both <u>internally and externally</u>
Delivery of results	<ul style="list-style-type: none"> • Effectively delegates and manages multiple projects ensuring they are delivered on time and to a high standard. • Plans and prioritises work, and resource allocation in terms of importance and timescales. • Oversees progress against targets set and keeps abreast of internal and external issues which may require reprioritisation or review of objectives. • Ensures that controls and performance measures are in place to deliver efficient and effective high value services. • Maintains awareness of sectoral developments and effectively prepares for anticipated changes. • Identifies potential improvements in current methodologies/work practices and seeks to exploit opportunities for greater effectiveness and efficiency in planning and achieving the unit's objectives. • Actively contributes to the development of clear and realistic unit and organisational work objectives to deliver the organisational strategy.

<p>Building Relationships and Communication skills</p>	<ul style="list-style-type: none"> • Presents information, both verbally and in writing, in a clear, comprehensive, logical and reasoned manner. • Encourages the views and ideas of others through active listening, including encouraging team members to bring forward new ideas and initiatives to improve how work is performed.
<p>Influence and impact</p>	<ul style="list-style-type: none"> • Challenges ideas and proposed changes constructively in the best interest of the long term future of the Authority. • Produces papers and presentations on professional/technical or specialised aspects of the role and is recognised as an expert in by colleagues and stakeholders in his/her own field/area. • Engages effectively, with a range of stakeholders, including regulated entities and members of the public. • Proactively engages with colleagues at all levels of the organisation and builds strong professional networks. • Develops and maintains a network of contacts to facilitate problem solving or information sharing.
<p>Specialist knowledge, skills expertise and self development</p>	<ul style="list-style-type: none"> • Has a breadth and depth of knowledge of the operation of pension schemes, PRSAs, regulatory priorities and best practice regulatory methodology and applies this. • Is aware of and keeps up to date on key organisational, government, sectoral and national policies and economic, political and social trends that affect the unit. • Maintains a strong focus on self-development, seeking ongoing feedback and opportunities for growth of management and technical skills.