

## JOB DESCRIPTION

<b>Job Title</b>	<b>Compliance Administrator - Audit</b>
<b>Department</b>	<b>Compliance</b>
<b>Responsible For</b>	<b>The effective operation of the processes supporting the audit visit programme</b>
<b>Job Grade</b>	
<b>Salary Range</b>	<b>£22,500</b>
<b>Reports to</b>	<b>Compliance Administration Team Leader</b>

### Job Purpose:

The focus of the role is to effectively administer the programme of audit visits being undertaken by the audit team. This will involve communication with the members chosen for visits to make appropriate arrangements for the bookings, liaison with the Compliance Auditors and co-ordination of their diaries and follow up of actions agreed by the auditors.

### Main Duties and Responsibilities:

#### Audit Process

- Log all new audit subjects on to the database
- Maintain the live case filing system
- Assist in collation, maintenance and review of the various documents and information sources relating to the audit process
- Make appropriate arrangements for the audit visits to proceed
- Contribute to the maintenance of the risk register

#### Administration

- Process communications received and generated by the department on a daily basis
- Liaising with the Compliance Auditors to create the compliance inspection programme
- Co-ordinate the Compliance Auditor's diaries
- Ensure that correspondence is replied to in a timely manner within departmental target periods.
- Provide administrative assistance when required to the Audit Team and the Disciplinary Administration Team as an when required.
- Deal effectively with telephone enquiries directed to the Audit Team offering advice where able.
- Assist with the maintenance of accurate membership and organisation records on the membership database
- Assist with the maintenance of the risk register
- Assist in the production of Management Reports and statistics for the Audit Team
- Such other duties that may be requested by the Compliance Manager, Compliance Administration Team Leader or Auditors from time to time to assist with the general functions of the Compliance Department.

There are no lines reporting into this role and no budget responsibility.

## **Key working relationships**

- Compliance Manager
- Compliance Administration Team Leader and Compliance Auditors
- Other members of the Compliance Team
- Members

## **Job Requirement / Skills**

- Problem solving skills
- Good administration skills
- Good standard of written communication
- Ability to communicate clearly and effectively
- Ability to work independently and as part of a team

## **Education / Experience:**

- Previous experience of working in a self-regulatory organisation is desirable.