

JOB DESCRIPTION

Job Title	Compliance Auditor
Department	Regulation
Responsible For	Examination of member's client accounting records and compliance with relevant legislative requirements
Job Grade	
Salary Range	£40,000 to £45,000
Reports to	Compliance Manager

Job Purpose:

The focus of the role is on the examination of the client account records of a member's firm and their compliance with relevant legislative requirements undertaken through a mix of site visits and desk-based reviews. The postholder is expected to provide written reports of the findings of such inspections for the Compliance Manager and the wider business.

Main Duties and Responsibilities:

- Through a mixture of site visits and desk-based reviews undertake inspections of a firm's client account records and accounting procedures, checking whether administration of the client account meets with the expectations of the Propertymark Conduct and Membership Rules.
- Monitor a firm's compliance with and offer compliance advice to the EAB/LAB in areas such as Anti Money Laundering requirements, Tenant fees, Landlord fees, Energy Performance Certificate requirements, Client Money Protection requirements, Consumer Redress, Right to cancel, Business Names legislation amongst others.
- Identify weaknesses in the EAB/LAB's procedures and controls and recommend improvements.
- Contribute information to the Compliance risk model and target visits/inspections on a risk-based approach.
- Manage your workload autonomously.
- Undertake further enquiries as and where necessary to gather evidence.
- Provide good customer service to all parties, managing expectations and communicating clearly, regularly and at an appropriate level, in writing and over the telephone.
- Negotiate with organisations to achieve compliance or resolution in appropriate cases.
- Liaise with Compliance Case Officers in circumstances where significant breaches of the Propertymark Conduct and Membership Rules have been identified.

- Ensure that reports detailing the findings and recommendations of the audit/inspection are completed in a timely manner and are supplied to the Member and the Compliance Manager.
- Support the Compliance Manager with the achievement of an effective inspection programme, helping with the identification of aspects of the service which could be improved.
- Attend internal meetings and external meetings and events, giving presentations where necessary.
- Develop and maintain relationships with any relevant internal/external stakeholders as appropriate.
- Provide guidance to colleagues involved in the disciplinary processes.
- Provide briefing or guidance material for more senior members of staff and present case overviews to colleagues where necessary.
- Produce occasional articles for Propertymark media on matters relating to professional conduct.
- Contribute to periodic reviews of the Propertymark Membership and Conduct Rules.
- Any other tasks that may be required from time to time by line management.

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

Key working relationships:

- Compliance Manager
- Other Compliance Team colleagues
- Members

Job Requirement / Skills

- Critical thinking and problem-solving skills
- Attention to detail, thoroughness, accuracy
- Self-motivated and proactive
- Good communication skills
- Well organised

Education / Experience:

- Proven experience in accounting/auditing or related fields
- Degree level education