

JOB DESCRIPTION

JOB TITLE	Compliance Auditor
DEPARTMENT	Legal
REPORTING TO	General Counsel and Company Secretary
LOCATION	Leeds, with frequent travel to Solihull Office and potentially to key customers.
JOB ROLE:	
<p>The purpose of the role is to help to deliver Zenith's objectives in the following areas: Quality Assurance, Customer audits and Statutory audits (in particular with reference to Information Security questionnaires and controls), maintaining ISO accreditation, FCA regulated business compliance monitoring and checking data privacy access controls. To provide general support and assistance as a member of the Compliance Team.</p> <p>Sponsorship will be given in a quality assurance diploma which will require some work outside the employee's core working hours.</p>	

CORE DUTIES AND KEY RESPONSIBILITIES:

Quality Assurance

- a. To be responsible for performing Quality Assurance tasks in relation to FCA- Regulated Business, including regularly monitoring telephone calls and assessing the quality of the conversations against objective FCA rules-driven requirements
- b. To report and assess data from QA tasks to the rest of the Compliance team for further reporting to the management of the regulated businesses

ISO accreditation

- c. Maintain, and continually improve the ISO standards integrated management system to the extent desired by the business.
- d. To maintain Zenith's certification to ISO 27001, ISO 9001 accreditations, and the implementation thereof.
- e. To provide assurance, through effective audit programs, as to the status of the ISO management systems.
- f. Manage the ISO process and programme and provide interface between the Company and ISO certifying body

Customer information requests

- g. To receive, manage and respond to information questionnaire and audit requests from customers, particularly in relation to information security, and to source replies from within the business, including support for New Business Development activity.

Supplier due diligence

- h. To perform some due diligence assessment of suppliers, and evaluate responses to their due diligence questionnaires.

Audit cycle

- i. Provide assistance to the audit cycle, liaising with external auditors around audit demands, especially in relation to information security controls and capability.
- j. Prepare and present reports that reflect the audit's results.
- k. Coordinate and facilitate annual management system reviews and to coordinate actions resulting from those reviews, surveillance visits, and other third party assurance activities.

Training employees of the business

- l. In partnership with the Zenith HR team, to provide training and awareness on operation of Quality, Information Security and Compliance requirements.

Information security

- m. Coordinate, review and update policies.
- n. Organise and conduct risk assessments on information security assets and controls.
- o. Maintain the Continual Service Improvement Plan (CSIIP) log, and update progress on outstanding actions with action owners.

Team memberships

- p. Work with teams across the business in relation to FCA Regulated Business quality assurance, information security and compliance matters.
- q. Play a role as part of the company Business Continuity Crisis Management Team.
- r. Develop and maintain effective relationships with key stakeholders, liaising with various specialists, advisors, managers throughout the organisation.
- s. Provide general support and assistance as a member of the Compliance Team and to plan and discuss workload and tasks with the rest of the Compliance Team.

PERSON SPECIFICATION

JOB TITLE	Compliance Auditor	
DEPARTMENT	Legal	
	ESSENTIAL	DESIRABLE
SKILL		
Demonstrates credibility, professionalism and strong personal integrity	X	
Creative problem solving skills including diplomacy, negotiation and conflict resolution with customers and suppliers	X	
Good analytical, planning and organisational skills	X	
Able to apply independent and objective judgement as situations demand in order to achieve results	X	
	ESSENTIAL	DESIRABLE
KNOWLEDGE/QUALIFICATIONS		
Willingness to learn and apply Compliance/Regulatory/Legislative, Risk and Governance requirements and resulting processes	X	
Solid understanding of the principles underlying the Information Security Management System standard ISO 27001 and its implementation		X
Solid understanding of the principles underlying the Quality Management System standard ISO 9001 and its implementation		X
Confident in Microsoft Office including Excel and Powerpoint	X	
EXPERIENCE	ESSENTIAL	DESIRABLE
Working with, and accountability for information provided to, customers and suppliers	X	
Preparing reports to a high standard	X	
	ESSENTIAL	DESIRABLE
PERSONAL CHARACTERISTICS		
Strong team player, who works collaboratively	X	
Thorough attention to detail	X	
Results focused and looks for opportunities to deliver continuous improvement	X	
Strong influencing and negotiating skills at all levels inside and outside the business	X	
Ability to self-motivate, manage time and work under pressure	X	
Organised with the ability to prioritise	X	
Builds and maintains a strong and sustainable network across the business and with other key stakeholders	X	