

## JOB DESCRIPTION

APPENDIX C

Before completing this form, please read the BTP 'Guide to writing job descriptions for Police Staff roles' Appendix B to the SOP.

### A. POST DETAILS:

Job Title: Audit and Compliance Manager

Current Grade: B001

Department: Audit & Assurance

Area: A Division

Reports To: Audit & Inspection Lead

No of Posts: 2

Level of  
vetting: MV

Post Number:

### PURPOSE OF THE POST: *Why the post exists and what it has to achieve*

#### B.

The purpose of this role is to coordinate the internal HMICFRS activity in the Audit & Inspection Plan, taking part in this where needed to identify risk and best practice and manage the annual Management Assurance Return process to provide assurance to chief officers. In addition, this role will manage the day to day running of the Audit, Risk, Inspection & Compliance Board.

### C. DIMENSIONS OF THE POST *The key statistics associated with the post*

Financial – Direct or Non-Direct

-  
Non Direct  
-

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**D. PRINCIPAL ACCOUNTABILITIES:** *What the job is accountable for and required to deliver*

To be the first point of contact for general enquiries in the Audit & Assurance function, with the ability to provide initial guidance. This includes dealing with enquiries from members of the public, police staff, police officers and partner agencies.

To work closely with divisions and departments to identify and coordinate resources to carry out inspection activity in line with the Inspection Plan.

To coordinate all Chief Officer Visits / Area Audit & Assurance checks and self-assessment in relation to inspection, as directed by the Audit & Inspection Lead.

To manage the annual DfT Management Assurance Return Process, providing a professional assurance review and ensuring this is consistent with other management responses.

To lead internal audits as directed by the Chief Officer Group, by conducting research, reviewing documentation and interviewing business owners, to identify findings and provide recommendations for decision and ultimately provide assurance to the force.

To take part in inspections, managing and delivering work packages, as directed by the Audit & Inspection Lead to identify areas of risk and good practice.

To conduct physical audits of police posts across A-Division, to provide independent assurance and identify and highlight risk to the force as well as best practice. This will include review of premises security, information security and Cymopa compliance.

To liaise with senior leaders to plan for HMICFRS inspections by developing the self-assessment documentation to highlight areas of good practice as well as any gaps to be addressed and provide support and guidance to throughout the inspection process.

To attend, as required, meetings on behalf of the Audit & Inspection Lead to present any relevant updates, identify risks and/ or recommendations to management.

Through audits and inspections to identify improvements to compliance regimes across the force that will provide greater assurance to senior leaders.

To track and monitor all audit recommendations for the force through the BTP Action Tracking System.

To manage the Station Commander and Divisional Commander Returns process, ensuring this is reviewed on a regular basis with key stakeholders to ensure it remains relevant.

To track and analyse responses from the Station Commander and Divisional Commander Returns and report the findings to leaders and practitioners for action.

To provide professional input into the quarterly Audit & Inspection Meeting chaired by the Head of Force Improvement Inspectorate to highlight risks and best practice from audit and assurance activity.

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To manage the secretariat and governance of the Audit, Risk, Inspection & Compliance Board (ARIC).

To be the System Administrator for 4Action, managing users, creating standard reports as required and liaising with the Risk Management Lead to manage the contract.

To plan and carry out audits of projects as and when required.

To provide ad hoc support to the Audit & Assurance function as and when required.

**E. DECISION MAKING:**

**Make decisions**

Identify improvements in BTP's audit process

Make recommendations for management decision in reports

**Significant say in decisions**

Recommendations and decisions in relation to implementing audit and inspection findings

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**F. CONTACT WITH OTHERS:** *The frequent contacts the post holder has with others and for what purpose*

**Internal**

All BTP staff/departments including: Senior officers/staff, investigators, HR Business Partners, Force and other Divisional Governance Departments

**External**

British Transport Police Authority (BTPA)

Home Office

Government Internal Audit Agency (GIAA)

DfT

HMICFRS

College of Policing

Train Operating Companies and rail industry staff

Association of Train Operating Companies (ATOC)

Transport Salaried Staffs' Association (TSSA)

**G. REQUIREMENTS:** *The skills, knowledge, experience, qualifications and training required to perform the job.*  
**Essential Criteria:** **Qualifications and Training:**

- Degree (or equivalent qualification) in a related discipline (e.g. business management, law, policing ) or equivalent experience
- A relevant professional internal audit qualification (Chartered / Certified Internal Auditor)

**Experience:**

- Experience of undertaking audits / assurance activity and utilising these to highlight areas of concern or make recommendations for change.
- Understanding and working knowledge of risk management, corporate governance and internal controls.
- Experience of carrying out research and horizon-scanning in a police, criminal justice or governmental setting
- Understanding and awareness of political environments, can adapt style and confident in dealing with people at all levels of an organisation both internally and externally.

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- Excellent verbal and written communication skills. The ability to communicate effectively with a variety of audiences through a range of mediums.
- The ability to synthesise and summarise complex information (including statistics) into a user-friendly format
- Strong IT skills, including working knowledge of Microsoft Word, Excel and PowerPoint
- Self-motivated with the ability to work under pressure while producing high quality work
- Experience of relationship management and working with partners.
- Ability to work as part of a team and on own initiative.
- Able to liaise with internal and external contacts to establish and develop a two-way exchange of information and data.
- Experience in facilitating training inputs and group discussion

**Skills:**

- Excellent planning skills
- Excellent written communication skills with the ability to draft clear, concise and accurate reports.
- Excellent verbal communication skills with the ability to brief employees at all levels of the organisation, including those at senior management levels.
- High levels of professional integrity with the ability to carry out complex and highly confidential investigations with tact and diplomacy.
- Highly developed skills of negotiation, persuasion, influence and assertion.
- Meticulous attention to detail with the ability to collate and analyse information to produce evidenced findings and practical recommendations.
- Proven problem solving and creative thinking skills. The applicant must be able to evidence the ability to think outside of the box and come up with new and innovative solutions to problems
- Prioritisation skills to manage time and workload. The post holder must be able to evidence managing a demanding workload.
- Excellent research skills

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**Knowledge:**

- Excellent working knowledge of the Microsoft Office suite, especially Word and Excel.

**Desired Criteria:**

**Qualifications and Training**

- Risk management qualification
- Project management qualification e.g. PRINCE2, MSP, Agile

**Experience**

- HMICFRS Inspection experience
- Operational policing knowledge and experience
- Project management experience

**Skills**

-

**Knowledge**

-

- H. ANY ADDITIONAL INFORMATION:** *Information relevant to the role, including any particularly challenging/ difficult aspects of the job. If competencies have been developed for this post, these can be listed here.*

Although the role is based in central London and will generally work normal office hours, the post holder may need to demonstrate some flexibility in this area. The post holder may be involved in auditing or other departmental activities, which may be outside of central London, some of which may require an overnight stay.

**I. AUTHORISATION DETAILS**

Prepared By: Melissa Morton

Date: 11/01/19

Area Commander /FHQ

Mike Furness

HoD:

Date: 14/01/19

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Date: 18/01/19

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