



Assistant Case Examiner

Enforcement

Permanent, Full Time

The Financial Reporting Council (FRC) is responsible for promoting transparency and integrity in business. We are the UK Competent Authority for audit and set the UK Corporate Governance and Stewardship Codes as well as UK standards for accounting, auditing and actuarial work. We monitor and take action to promote the quality of audit and corporate reporting and operate enforcement schemes in relation to the conduct of auditors, accountants and actuaries. Further information about the role of the FRC can be found at www.frc.org.uk.

The Case Examination and Enquiries team sits within the Enforcement division and is responsible for gathering intelligence on potential matters of interest, co-ordinating the initial stages of enforcement enquiries and making referrals to the FRC's Conduct Committee where appropriate (for the Committee to decide whether a formal investigation should be opened). The CEE team is also responsible for resolving less serious audit cases through a process referred to as constructive engagement.

The Role:

The role involves the day-to-day management of cases and assisting the Head of Case Examinations and Enquiries in making determinations under the applicable enforcement procedure(s). Particular responsibilities of the role include:

- The end to end management of complex cases with minimal supervision in accordance with the team's policies and procedures. This involves:
 - preparing requests for information from relevant sources
 - analysing the information received to determine appropriate outcomes
 - drafting papers for referral to the Conduct Committee
 - devising and conducting appropriate constructive engagement activity with respondents in relevant AEP cases
 - liaising appropriately with internal and external stakeholders
 - responding to complainants
- The supervision of more junior members of the team
- Developing and improving the team's policies and procedures.
- Compiling regular and ad hoc management information.
- Building and maintaining relationships as well as sharing information (where appropriate) with the relevant internal as well as external (e.g. regulatory / law enforcement bodies) stakeholders
- Supporting and deputising for the Head of Case Examinations and Enquiries as required
- Leading or assisting with Enforcement Division project activities as required

The Person:

An appropriate accounting qualification (e.g. ACA), recent experience of managing statutory audits as well as a good knowledge and understanding of the audit, accounting and actuarial regulatory environment are required. Investigation or forensic accounting experience is desirable but not essential. The ideal candidate will have:

- Strong influencing skills (particularly in relation to complex technical matters)
- Excellent written and verbal communication skills
- Excellent analytical skills with the ability to process information to determine its relevance and make recommendations
- Excellent organisational skills
- Excellent stakeholder management skills

The role is based in our Central London Office. The post holder should be able to work flexibly to support the team's activities and also provide cover within the FRC as necessary.

Rewards and benefits

- *The FRC offers competitive remuneration packages, with generous benefits, discretionary annual bonus and 30 days annual leave plus ability to buy extra leave*
- *The FRC has a strong work/ life balance ethos.*

The FRC believes that equality of opportunity and diversity is important in the work that we do and we are strongly committed to being an inclusive employer. Our values of being fair and independent supports this commitment. We're a signatory to the Government's Disability Confident scheme, which means that we guarantee an interview to any disabled candidates entering under the scheme, should they meet the minimum criteria for a role.

Equal opportunities monitoring is an important means of demonstrating and implementing our commitment to promoting equality of opportunity and diversity. Completing our diversity form will assist the FRC to identify any barriers that prevent access to employment and career development for certain groups of people, and to develop solutions, such as action plans, new policies and practices. The form is completed on a voluntary basis and we strongly encourage all job applicants to complete it.

[Complete the Diversity Form here](#)

Please apply by emailing a copy of your **[CV](#)** and **[covering letter](#)** to the FRC Recruitment team at **recruitment@frc.org.uk**. In the covering letter, please set out, by reference to the person specification above, how you meet the required skillset

- confirm that you have the right to work in the UK
- confirm your current package and benefits, and
- tell us where you heard about this job

The closing date for applications is **14 June 2019**.