

Job Description

Job Title: Compliance Officer (Restart Contract and IPES Contract)

Reports to: Head of Provision

Location: Birmingham Office Based with Travel around CPA 1 & 5

Purpose

As a Compliance Officer, you will be responsible for day to day delivery of successful contract compliance results across the two contracts, by balancing thinking with doing. The core purpose to the role is to work to a set of Management Assurance Frameworks in conducting compliance reviews and audits, as well as undertake direct activity to ensure contract requirements are met to specified deadlines and standards. The scope of compliance responsibilities will be led by (but not exclusive to) ensuring all Participant Service Standards (from Start to end of a participant's time on programme) are fully compliant to the contract requirements expected of the Contract owner and support with ensuring continuous improvement of compliance standards across the contract.

Main Duties and Responsibilities

1. To have a full and detailed understanding of all contract requirements in relation to expected compliance standards. This will be supported by working to internal Management and Assurance Frameworks and reporting.
2. Work to a system of checks and audits within expected deadlines to ensure Contract Compliance Requirements, system requirements and documentation compliance are accurate and correctly reported.
3. Conduct 1st Line and or 2nd line Management assurance framework checks and report on results feedback to contract management clear improvement action plans to enable continuous improvement and support throughout the contract.
4. Work closely with each team and contract management to support with the preparation and completion of regular external audits for each contract. This

will also include attending meetings with external auditors both in person and on MS Teams.

5. Work with the Management Teams across both contracts, Compliance Team Leader and Performance Manager to agree improvement actions based on the findings of audits completed. This will include ensuring documented improvement action plans are in place and regularly reviewed with Team Leaders. This will also feed into the Contracts Self-Assessment Reports.

To complete direct (rectifying or pro-active) actions on participant accounts to ensure full compliance (built on sound / accurate systems knowledge and expertise).

6. Support delivery staff and managers on the translation of contractual requirements and commissioner guidance to ensure contract delivery is fully compliant.
7. The producing and presenting of daily, monthly, quarterly (ad hoc) reports to the Contract owner – is presented (downloaded) via their preferred method and in a controlled manner.
8. Ensure existing and new compliance processes are implemented to a standard that ensures teams understanding is embedded and support with any updates including highlighting training where required. Hold training sessions around those updates where required.
9. To support the monitoring of Fraud prevention measures across both internal and supply chain contracted provision.
10. To escalate any non-compliance, serious breaches and irregularities or suspected incidence of fraud via agreed company processes.
11. To support information security requirements through monitoring and reporting across all internal and supply chain delivery.
12. Working with Operational Support Services to help facilitate external audits by third parties as appropriate.
13. To co-ordinate preparation for assessments, audits and inspections of the Restart and IPES contracts with professional cross functional activity with Operational Support Services.

14. To liaise effectively with staff working across the Restart and IPES contracts, its subcontractors and any third parties as appropriate. This will also include conducting coaching and training where required.
15. To remain independent and objective and convey this both in written and oral communication and to ensure confidentiality where appropriate and when dealing with sensitive issues.
16. To participate in training and undertake appropriate learning and development as required by the role.

Other

1. To undertake any further training as identified in the Shaw Trust review procedures.
2. Ensure that safe working practices are followed in respect of COSHH and other Risk Assessment control measures.
3. Employees must comply with the provisions of 'The Health and Safety at Work Act 1974' and must take reasonable care for the health and safety of themselves and of other persons who may be affected by their acts of omissions whilst at work. Employees are also required to co-operate with their employer to enable them to perform or comply with any statutory provisions. The Trust's efforts to promote a safe and healthy working environment can only succeed with the full co-operation of its employees.
4. To understand, comply with and promote Shaw Trust's safeguarding policy and procedures. It is the responsibility of all employees to make the working environment safe and secure for all. Everyone must adhere to the 5 Rs in relation to possible abuse: Recognition, Response, Reporting, Recording and Referral. The Trust can only ensure its dedication to the protection of vulnerable people with the full cooperation of its employees.
5. The Trust has a Diversity and Inclusion Policy and it is the responsibility of all staff to comply with this. The key responsibilities for staff under this Policy are set out in the Trust Code of Conduct.
6. To maintain the confidentiality about clients, staff and other Trust business. The work is of a confidential nature and information gained must not be communicated to other persons except in the recognised course of duty. The post holder must meet the requirements of the Data Protection Act at all times.
7. To maintain awareness of risk and to take personal responsibility for ensuring that the Trust is not unnecessarily exposed to risk. To report any issues or concerns relating to risk and the effectiveness of the Trust's risk management arrangements.

8. Be aware of, promote and implement Shaw Trust's Risk, Quality and Information Security Management Systems.
9. To report to line manager, or other appropriate person, in the event of awareness of bad practice.
10. Recycle and manage energy within your environment in line with Shaw Trust's Strategic aim to adopt green approaches and become carbon neutral.

This job description is intended to provide a broad outline of the main duties and responsibilities only. The post holder will need to be flexible in developing the role in conjunction with the line manager. The post holder may be asked to carry out any other delegated duty or task that is in line with their post.

<p align="center">Person Specification</p> <p align="center">Job Title: Compliance Officer (Restart Contract and IPES Contract)</p> <p align="center">(E=Essential D=Desirable)</p>
<p>SKILLS AND CORE COMPETENCIES</p>
<p>Technical competency (qualifications and training)</p> <ul style="list-style-type: none"> • Educated to degree level of equivalent experience. (D) • Relevant qualification in particular discipline. (D) • Demonstrable evidence of Continuing Professional Development. (D) • Demonstrable success in conducting compliance reviews to achieve and exceed contractual and organisational objectives. (E) • Effective methods of engaging staff in compliance activities. (E) • Knowledge of audit, compliance practices and continuous improvement practices. (E)
<p>Experience</p> <ul style="list-style-type: none"> • Experience of internal (and external) partnership working. (D) • Demonstrable experience of successfully working to targets. (D) • Experience with improving systems and processes. (D) • Experience of managing a team and performance management procedures. (D) • Relevant previous experience/ knowledge of operational delivery across a range of commissioners including systems and process. (E) • Experience of completing file audits against contractual requirements. (D) • An understanding of the DWP PAT requirements. (D) • An in depth understanding of European Social Fund (ESF) contractual and funding requirements expected by DWP. (E)

Skills and Attributes

- Excellent verbal and written skills and ability to communicate concisely and effectively. **(E)**
- Demonstrable experience of providing excellent customer service skills. **(E)**
- Understanding of data protection and information security. **(D)**
- Ability to work flexibly to cope with the varying demands of the role and achieve desired results. **(E)**
- High quality written and verbal English skills. **(E)**
- An ability to work under pressure and to tight deadlines. **(E)**
- Excellent time management and the ability to prioritise a workload. **(E)**
- Excellent IT skills – to present data via Word, Excel, PowerPoint and PDF. **(E)**
- Excellent organisational skills demonstrating ability to produce work to high quality standards. **(E)**
- Excellent analysis skills linking to the evaluation of risks and extrapolation to funding **(E)**

Personal qualities, communicating and relating to others

- Excellent interpersonal and communication skills. **(E)**
- Good at building relationships with both internal and external stakeholders. **(E)**
- Ability to use initiative when required and take a problem solving approach to work tasks. **(E)**
- Ability to work well as part of a team and independently when required . **(E)**
- Positive attitude to equality and inclusion within employment. **(E)**
- Flexible, adaptable and innovative. **(E)**
- Excellent interpersonal, communication and presentation skills demonstrating the ability to convey complex messages clearly. **(E)**
- Positive collegiate attitude to supporting others across the contracts. **(E)**

Safeguarding

- Be able to display an awareness, understanding and commitment to the protection and safeguarding of young people and vulnerable adults. **(E)**
- Be able to display an awareness, understanding and commitment to the protection and safeguarding of young people and vulnerable adults. **(E)**
- This post requires a Disclosure and Barring Service check at Basic level. **(E)**

Other

- Have an understanding of and be able to demonstrate a commitment to Equal Opportunities and Diversity **(E)**