

Job: Compliance Officer (WLA WHP)

Reports to: Compliance Team Leader

Purpose:

As a Compliance Officer, you will be responsible for day to day delivery of successful contract compliance results by balancing thinking with doing. The core purpose to the role is to work to a set of routines and rituals in conducting compliance reviews, as well as undertake direct activity to ensure contract requirements are met to specified deadlines and standard. 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.

Main Duties and Responsibilities

1. To have a full and detailed understanding of all contract requirements in relation to compliance KPIs. Supported by working to a set of routines and rituals that ensures the Contract owners receives 100% compliance in line with contract stipulations.
2. Work to a system of checks and balances across a month – to ensure ESF Requirements, documentation compliance and the submitting of claims is both accurate and correctly evidenced.
3. Work with the Regional Delivery Manager, Compliance Team Leader and Performance Manager to agree improvement actions based on the findings of reviews completed. This will include ensuring documented improvement action plans are in place and regularly reviewed with Team Leaders.
4. To complete direct (rectifying or pro-active) actions on participant accounts to ensure full compliance (built on sound / accurate systems knowledge and expertise)
5. Support delivery staff and managers on the translation of contractual requirements and commissioner guidance to ensure contract delivery is fully compliant.
6. 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
7. Ensure existing and new compliance processes are implemented to a standard that ensures teams understanding and immediate compliance too (and checked as such)

8. To support the monitoring of Fraud prevention measures across both internal and supply chain contracted provision.
9. To escalate any non-compliance, serious breaches and irregularities or suspected incidence of fraud via agreed company processes.
10. To support information security requirements through monitoring and reporting across all internal and supply chain delivery.
11. Working with Operational Support Services to help facilitate external audits by third parties as appropriate.
12. To co-ordinate preparation for assessments, audits and inspections of the WLA JETS contract with professional cross functional activity with Operational Support Services.
13. To liaise effectively with staff working across the WLA JETS contract, its subcontractors and any third parties as appropriate.
14. 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.
15. 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 Group 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 or omissions whilst at work. Employees are also required to cooperate 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 cooperation 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 an Equality and Diversity 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. Be aware of, promote and implement Shaw Trust's Quality, Compliance and Information Security Management Systems.
8. To report to line manager, or other appropriate person, in the event of awareness of bad practice.
9. Recycle and manage energy within your environment.

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.

Person Specification

Job Title: Compliance Officer

(E = Essential D = Desirable)

<p>Technical competency (qualifications and training)</p> <ul style="list-style-type: none"> • 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, Knowledge and Skills</p> <ul style="list-style-type: none"> • 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)

<ul style="list-style-type: none"> • An in depth understanding of European Social Fund (ESF) contractual and funding requirements expected by DWP. (E) • An in depth understanding of contractual requirements expected by West London Alliance and the JETS Contract. (D)
<p>Skills and Attributes</p> <ul style="list-style-type: none"> • 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)
<p>Personal qualities, communicating and relating to others</p> <ul style="list-style-type: none"> • Positive attitude to equality and inclusion within employment. (E) • Ability to work on own initiative and within a team. (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)
<p>Safeguarding</p> <ul style="list-style-type: none"> • 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)