

Job: **Compliance Officer**

Adult Learning, National Careers Service, Building Better Opportunities

Reports to: **Compliance Manager**

Salary Range: **£23,000 to £28,000 per annum**

Location: **Home based with UK wide travel**

Purpose:

Working within the Operational Support Service in collaboration with operational colleagues to ensure compliance to contractual obligations and continuous improvement across a broad range of services, education and training provision within Shaw Trust. Meeting and exceeding expectations in line with the Shaw Trust Strategic Directive 2030.

As a Compliance Officer, you will be responsible for conducting funding, contract and standards compliance reviews based on key aspects of contract delivery including achievement of customer service standards, outcomes, processes and systems in order to ensure full compliance with contractual funding obligations. This person will specifically support the delivery of contracts and services within Adult Learning, ESF, Learning Loans, National Careers Service, and Building Better Opportunities.

Main Duties and Responsibilities

1. To assimilate and understand all contract requirements and KPIs with an emphasis on the triggers, including those of a financial, operational, legal and quality nature, associated with all contracts delivered by Shaw Trust and/or the supply chain including; all Adult Learning, ESF, Learning Loans, National Career Services (NCS), Building Better Opportunities (BBO) contracts, and other commercial provision.
2. Carry out periodic reviews in line with the Continuous Improvement monitoring calendar of all contracts to focus on a holistic beneficiary journey, documentation compliance and claim activity based on the requirements of each programme to ensure accuracy of evidence in both internal and supply chain delivery via electronic systems.
3. Rigorously test all contracts to ensure systems and processes are being adhered to and are working as per contract requirements and in line with any commissioner guidance, providing clear actions to continuously improve.

4. Test the adequacy and effectiveness of external accreditations (such as ISO systems and processes) focussing specifically on compliance with the requirements of the international standards (including, but not limited to, Information Security (ISO27001) and Quality (ISO9001))
5. Work with the Change Office, Commercial Directorate, Operations, Operational Support Service colleagues and other departments as required to ensure new contracts can be configured and implemented in a fully compliant manner.
6. Support the business on the translation of contractual requirements and commissioner requirements to ensure full compliance requirements are met.
7. To monitor the 4 principles of Fraud across both internal and supply chain contracted provision.
8. To escalate any non-compliance, serious breaches and irregularities or suspected incidence of fraud via agreed company processes.
9. To support information security requirements through monitoring and reporting across all internal and supply chain delivery.
10. Produce reports and SMART action plans and ensure these are communicated effectively using verbal and written communication to local management, Supply Chain managers and other staff as required with highly effective monitoring and follow up deadlines to mitigate risk at every opportunity.
11. To support and monitor management and staff responses and actions within given timeframes to ensure implementation of remedial actions occurs in a timely and appropriate manner, and to escalate where appropriate following the internal documented process.
12. To help facilitate external audits by third parties as appropriate.
13. Support operational directorates to prepare for assessments, audits and inspections
14. To liaise effectively with staff working across the Shaw Trust Group, its subcontractors and any third parties as appropriate.
15. To work within budgetary constraints set out by the Head of Compliance.
16. 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.

17. 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) • IIA Diploma or equivalent audit qualification / ISO27001 or ISO9001 Lead Auditor qualified or willingness to work towards the qualification. (D) • Sound knowledge of external audit activities of the relevant contracts held by Shaw Trust. (D) • Knowledge of Information Security requirements as required by commissioners / certifying bodies. (D)
<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 sectors (ideally covering- Adult Learning, Adult Learning Loans, ESF, National Career Services (NCS), Building Better Opportunities (BBO) and commercial contracts). (E) • Experience of auditing ISO standards. (D) • An in depth understanding of European Social Fund (ESF), Education and Skills Funding Agency and Big Lottery contractual and funding requirements expected by commissioners. (E) • An in depth understanding of contractual requirements expected by commissioners. (E)
<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>

- 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 Group **(E)**
- Willingness to undertake frequent travel around sites in the UK, including occasional overnight stays. **(E)**

Safeguarding

- 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 a Basic level. **(E)**