



## JOB DESCRIPTION

<b>SERVICE:</b>	Programme and Fund Services
<b>SECTION:</b>	<b>Cornwall and Isles of Scilly People Hub</b>
<b>JOB TITLE:</b>	Compliance Manager
<b>RESPONSIBLE TO:</b>	People Hub Manager
<b>FUNDED BY:</b>	European Social Fund (ESF) and Cornwall Council
<b>SUPERVISORY RESPONSIBILITY:</b>	None

### KEY RELATIONSHIPS:

<b>Internal:</b>	People Hub Manager, CDC People Hub team, CDC Managing Director, Head of Programme and Fund Services, Head of Corporate Services, Finance, Claims and Audit Team, Cornwall and Isles of Scilly Skills Access Hub and Growth Hub, CLLD Programme Manager
<b>External:</b>	DWP, Cornwall Council, delivery partners, externally procured suppliers (e.g. CRM service), People Hub Steering Group, Cornwall & Isles of Scilly Local Enterprise Partnership, Employment and Skills Board (LEP), Inclusion Cornwall (CC), Jobcentre Plus, stakeholders, Cornwall Chamber, employers, voluntary sector

### MAIN PURPOSE OF THE JOB:

To effectively ensure that the People Hub contract is compliant throughout the management and delivery in order to meet legal obligations and contractual standards required by the Managing Authority (DWP).

### KEY TASKS:

#### Service delivery

- To be responsible for quality and compliance with all contractual data, policies and procedures to meet contractual/audit requirements including throughout the supply chain.
- To ensure up to date notifications and guidance to enable the People Hub Team to maintain high levels of compliance at all times.
- To ensure the office has the appropriate administrative systems to meet contractual standards of compliance.
- To be responsible for all initial compliance enquiries on behalf of the People Hub, having an excellent knowledge of the project to enable an efficient service for all clients
- To ensure appropriate due diligence is carried out on potential participants to ensure eligibility complies with the criteria laid out by the DWP.
- To ensure the compliant handling and processing of client data and personal and sensitive information in line with contractual, legal and corporate obligations and requirements.



- To manage, monitor and assist in the preparation of procurement documentation and tender processes
- To be accountable for the design & implementation of processes and procedures to assist in monthly reporting to the People Hub Manager on project progress
- To be responsible for maintaining accurate records to work with the CDC Finance, Claims and Audit Team and allow for the timely claim reporting to DWP on a quarterly basis, preparing necessary documentation and challenging the People Hub team to meet required deadlines
- To ensure compliance with EU regulations regarding publicity and communications (including the use of the ESF logo) with EU eligibility and procurement rules
- To support the implementation and maintenance of the project CRM system to ensure the appropriate design, population and accuracy of client files. Once implemented, provide detailed support and training to the team, monitor and challenge the effective use of the system.

### **Relationship management**

- To regularly liaise with delivery partner contract managers to ensure compliant systems and procedures throughout the supply chain.
- To lead regular compliance and performance review meetings with delivery partners to check compliance and set actions for any corrective action.
- To establish and maintain strong working relationships with the People Hub Team and other CDC in-house departments
- To establish and maintain a good relationship with the DWP case officer and auditors, responding to queries in the absence of the People Hub Manager, where required
- To regularly work with the independent evaluators where required, responding to queries in the People Hub Manager's absence where required

### **Service development**

- To ensure that the cross-cutting objectives as set out in the project specific implementation plans for sustainable development and equality and diversity are successfully achieved.
- To engage in knowledge sharing activities within CDC to ensure optimum adherence to ESF requirements and procedures
- To support cross-cutting project or team development activities as required to enhance the performance of the ESIF programme and CDC
- To establish and monitor additional KPI metrics monitoring processes and produce relevant reports to demonstrate wider project impact

### **Technical**

- To maintain excellent computer literacy skills, particularly MSWord and Excel and database knowledge in order to ensure the CRM system is fit for purpose.
- To ensure that the contract and any data sharing arrangements are compliant with relevant legal obligations, including GDPR.
- To undertake regular reviews of project records to ensure absolute compliance with project requirements
- To provide data analysis to understand trends and forecasting of Results and Outputs

### **Leadership & management**

- To co-ordinate and provide training and advice to the People Hub Team and relevant delivery partners regarding contract compliance, including the systems and procedures that record outcomes.
- To provide guidance to People Hub Team and resolve issues in relation to project operations to ensure compliant delivery of the programme, including state aid observance, sound record-keeping and full audit trail



- To be assertive and commanding when compliance issues arise and require correcting
- To maintain a full understanding of required compliance for ESF programme, providing guidance and knowledge to the People Hub Team and relevant delivery partners
- To be responsible for ensuring the project processes and procedures are in line with programme requirements, providing suggestions and implementing continual improvement where beneficial
- To interpret complex rules and procedures set out by the Managing Authority which facilitate effective provision.

### **Performance reporting & management**

- To be responsible for maintaining all internal files and data in impeccable order and in accordance with audit requirements and company practices
- To be accountable for the monitoring and reporting on outputs and outcomes as required by funders by maintaining accurate records of programme activity and client files
- To be responsible for the design and implementation of key performance indicator metrics to demonstrate wider project economic impacts
- To regularly engage with project evaluators where required, responding to queries in the People Hub Manager's absence where required

### **Resource management**

- To support the procurement of third party service providers for elements of the project which are to be sub-contracted, maintaining compliant records in all cases
- To oversee delivery partners progress and ensure their compliance to both contractual funding obligations but also Partner Agreements.
- To undertake spot checks of delivery partners to ensure compliance with contractual funding obligations.
- To support the monitoring of the project budget to ensure that expenditure mirrors the profile as closely as possible ensuring that value for money is achieved and any financial risks are effectively managed.
- To take a proactive approach to all situations and tasks and manage own time to ensure compliance with DWP reporting deadline requirements

### **Customer feedback**

- To ensure there is an effective system for gathering participant feedback from clients, and acting upon the findings in order to ensure continuous improvement of the contract.
- To ensure there is an effective system of observing delivery partner interaction with participants to maintain a high standard of support
- To address initial minor complaints made by telephone.

### **KEY RESULT AREAS:**

- To establish and maintain impeccable record management to guide the project and the team on compliance requirements leading to a high quality and accurate service.
- To undertake meaningful checks of People Hub and delivery partner records in order to meet contractual funding obligations
- To develop and maintain a high quality system or processes and procedures which are user friendly for participants but also compliant with contractual funding obligations
- To deliver or arrange any necessary training and support to the supply chain to ensure quality delivery, consistency of provision and compliance.

**PERSONAL & TEAM RESPONSIBILITIES:**

- Provide a good role model for staff and trainees and project a positive image to internal and external contacts and customers
- Demonstrate the Company's culture, values and behaviours:
  - achieving excellence
  - valuing ourselves and others
  - showing personal leadership
  - being passionate about what we do
  - committed to a low carbon future for all
- Take responsibility for own self-development on a continuous basis.
- Participate actively and positively in the effective matrix management of activities across the CDC
- Display strong customer and commercial focus towards the delivery of all commissioned work, supporting the identification and securing of additional funding or contract opportunities
- Carry out responsibilities with due regard to the UK Data Protection Legislation and the General Data Protection Regulation (GDPR)
- Carry out responsibilities with due regard to the Company's Equal Opportunities Policy and Sustainable Development Policy and the Equality Act
- Work at all times within the code of the Health & Safety Act

**Date last reviewed:****September 2020****Approved by manager:****September 2020****Approved by HR evaluation panel:****Agreed with post holder:****Date Personnel informed:**



## PERSON SPECIFICATION

**SERVICE:** Programme and Fund Services

**SECTION:** People Hub

**JOB TITLE:** Compliance Manager

### EXPERIENCE

Essential	Desirable	How identified
<p>Excellent experience of implementing contractual standards through the delivery of contracts/programmes.</p> <p>Experience working with DWP or ESF employment and skills support contracts and interpreting complex funding requirements.</p> <p>Significant experience of working with and compliantly processing eligible participant data in line with ESF and GDPR standards</p> <p>Experience providing support to small teams.</p> <p>Experience of leading, training and mentoring in compliance matters for internal teams and/or external stakeholders</p> <p>Experience of interpreting performance management information and data.</p> <p>Experience of successfully using programme management systems to record progress and performance.</p> <p>Good experience of carrying out quality assurance monitoring and spot checks</p>	<p>Financial Processing experience</p> <p>Experience of working with the Private or Public Sector</p> <p>Experience of working with socially excluded workless groups</p> <p>Experience of training delivery.</p> <p>Demonstrable supervisory experience</p>	<p>From application form and at interview</p>

### EDUCATION & TRAINING

Essential	Desirable	How identified
<p>Degree or equivalent qualification or significant and demonstrable experience</p>		<p>From application form.</p> <p>Certification</p>

**BEHAVIOURS**

Essential	Desirable	How identified
<p>Attention to detail and implementing EU and/or Government rules and procedures.</p> <p>Ability to develop and implement a programme of monitoring, audit and compliance amongst a supply chain of delivery partners</p> <p>Excellent communicator at all levels of an organisation</p> <p>Ability to work within a multi-disciplinary team</p> <p>Ability to work on own initiative or as part of a team</p> <p>Strong report writing skills</p> <p>Excellent interpersonal and team working skills</p> <p>Integrity and honesty</p> <p>Innovative thinker at a practical level</p> <p>Sound professional judgement and the ability to work effectively under pressure</p>		<p>Application form / CV</p> <p>Interview</p> <p>References</p>

**KNOWLEDGE & SKILLS**

Essential	Desirable	How identified
<p>Excellent knowledge of ESF requirements.</p> <p>Excellent knowledge of compliant handling and processing of ESF eligible participant data</p> <p>Excellent interpersonal skills, both with external funding bodies and contractors but also including individual clients and families, the team and external partners.</p> <p>Excellent ICT skills (proven experience in Microsoft Office)</p> <p>Adaptable and be able to react positively to change with a flexible approach.</p> <p>Must be able to organise and prioritise own work to meet deadlines.</p>	<p>Knowledge of economic development, community regeneration issues</p> <p>Ability to interpret complex data in order to provide reports to contractors and management.</p> <p>Working knowledge of the Internet</p> <p>Working knowledge of Access [experience]</p> <p>Experience of Excel</p>	<p>From application from</p> <ul style="list-style-type: none"> <li>• Interview</li> </ul>



<p>Excellent communication skills, and good oral and written skills.</p> <p>Ability to resolve conflict or disagreements.</p> <p>Flexible, diplomatic and self-motivated.</p> <p>Thorough understanding of equality and diversity, safeguarding and Data Protection Legislation</p> <p>Basic website design experience</p>		
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**ANY ADDITIONAL FACTORS**

Essential	Desirable	How identified
<p>Ability to work in a changing environment and outside office hours.</p> <p>Access to vehicle and ability to travel throughout the county.</p> <p>Appropriate regard to confidential Company information.</p> <p>Ability and willingness to undertake travel within the county on an occasional basis</p> <p>This post requires DBS Enhanced Disclosure check</p>		<p>From application form and interview</p>