



JOB DESCRIPTION

SECTION:	Skills Development Services
JOB TITLE:	Compliance Officer
RESPONSIBLE TO:	Compliance Manager
FUNDED BY:	European Social Fund (ESF) and Cornwall Council
SUPERVISORY RESPONSIBILITY:	None

KEY RELATIONSHIPS:

Internal:	People Hub Team, Head of Skills Development Services, Head of Corporate Services, Finance, Claims and Audit Team, Cornwall and Isles of Scilly Skills Access Hub and Growth Hub
External:	DWP, Cornwall Council, delivery partners, 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 play a critical role in ensuring that the delivery of the People Hub is compliant and accurately administered through the delivery of a comprehensive and effective compliance and administrative function.
- To support the People Hub Manager and People Hub Compliance Manager and team on matters of compliance and administration, contributing to the successful and professional delivery of this project.
- To hold detailed knowledge of all aspects of the project delivery requirements and compliance matters. Supporting the People Hub Manager and People Hub Compliance Manager, the Compliance Officer will be responsible for challenging behaviour and activities of the People Hub where necessary.
- To be responsible for the preparation and collation of the People Hub quarterly claims and subsequent audit requirements, and impeccable finance and expenses records for the project.

KEY TASKS:

Service delivery

- To support the compliance manager to ensure the quality and compliance of all contractual data, policies and procedures to meet contractual and audit requirements.
- 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 the initial point of contact to respond to the DWP and auditors.
- To be responsible for all initial compliance enquiries on behalf of the People Hub, having a highly credible knowledge of the project to enable an efficient service for all clients
- To ensure appropriate due diligence is carried out on potential clients to ensure eligibility
- To manage, monitor and assist in the preparation of procurement documentation and tender processes
- To support the Compliance Manager in the design & implementation of processes and procedures to assist in monthly reporting to the People Hub Manager on project progress
- To support the Compliance Manager in 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.
- To utilise project records and CRM system to design and produce reports which effectively demonstrate achievement of project outputs and wider achievements as a result of project activity.
- To ensure that the ESF cross cutting themes of Equality & Diversity and Sustainability and their respective project specific policies and implementation plans are delivered and promoted.

Relationship management

- To support the People Hub Manager and Compliance Manager by monitoring the quality of the service provided to participants.
- 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
- To be the central point of contact for CRM system support and providing ad hoc support on the CRM to other CDC personnel where appropriate

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 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 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 where necessary
- To be responsible for ensuring the project processes and procedures are in line with programme requirements, providing suggestions and implementing continual improvement where beneficial

Performance reporting & management

- To support the Compliance Manager in maintaining all internal files and data in impeccable order and in accordance with audit requirements and company practices
- To support the Compliance Manager in with accountability for the monitoring and reporting on outputs and outcomes as required by funders by maintaining accurate records of programme activity and client files
- To support the Compliance Manager in 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 support the Compliance Manager in overseeing delivery partners progress and ensure their compliance to both contractual funding obligations but also Service Level Agreements.
- To support the Compliance Manager 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

- As required, draft written responses to enquiries or complaints for approval by senior staff

KEY RESULT AREAS:

- To support the Compliance Manager 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 support the Compliance Manager in developing and maintain a high quality system or processes and procedures which are user friendly for participants but also compliant with contractual funding obligations
- To act as a professional initial point of contact for the project in cases of compliance and provide accurate advice in response to queries on standards

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: **July 2021**

Approved by manager: **July 2021**

Approved by HR evaluation panel:

Agreed with post holder:

Date Personnel informed:



PERSON SPECIFICATION

SERVICE: Skills Development Services

SECTION: People Hub

JOB TITLE: Compliance Officer

ATTRIBUTES	ESSENTIAL	DESIRABLE	HOW IDENTIFIED
<p><u>Relevant Experience</u></p>	<p>Good experience of implementing contractual standards through the delivery of contracts/programmes.</p> <p>Experience of interpreting funding requirements.</p> <p>Experience providing support to small teams.</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>Experience working with employment and skills support contracts</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>



<u>Education & Training</u>	NVQ 3 in Business or Administration related subjects or equivalent qualification or significant and demonstrable experience	Health & Safety in the Work Place qualification.	From application form. Certification
<u>Behaviours</u>	<p>Attention to detail</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>
<u>Special Knowledge & Skills</u>	<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>Basic website design experience</p>	<p>From application form</p> <p>Interview</p>



	<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 GDPR</p> <p>Knowledge of European Social Fund (DWP and SFA) requirements.</p>		
<p><u>Any Additional Factors</u></p>	<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 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>