



# European Union

European  
Social Fund

**Strategy Directorate**

**Compliance Officer (Local London Work and  
Health Programme)  
Job Description and Person Specification**

**July 2019**

## Job Description

<b>Job Title:</b>	Compliance Officer (Local London Work and Health Programme) (LLWHP)
<b>Department:</b>	Strategy Directorate
<b>Function:</b>	Responsible for the (i) efficient, effective and robust quality assurance and compliance monitoring of the LLWHP and (ii) meeting the reporting requirements for the European Social Fund (ESF) grant (and any other funding source) To support with the management and administration of the funding and contractual requirements for the LLWHP.
<b>Team:</b>	Local London Programme Office
<b>Post number:</b>	TBC- new post
<b>Grade:</b>	LBR10 (PO2): £34,794 - £36,711
<b>Hours/weeks:</b> <i>E.g. 36 hours/52.14 weeks</i>	36 hours
<b>Base location:</b>	Lynton House, 255-259 High Road, Ilford, Essex IG1 1NN
<b>Reports to:</b> <i>Job title</i>	Programme Compliance Lead Officer (PCLO)
<b>Responsible for:</b> <i>Job titles of direct reports</i>	No direct reports
<b>Role purpose and role dimensions:</b> <i>Overview of the job</i>	The purpose of the Compliance Officer post is to ensure that the Local London Partnership's Work and Health Programme, which is funded by the European Social Fund (ESF) and by funding from the Department for Work and Pensions (DWP), delivers its outcomes successfully by supporting in the delivery management of a robust system of contract monitoring, compliance and quality assurance systems and processes reviews to ensure all funding requirements are met.
<b>Key external contacts:</b> <i>Organisations</i>	Local London local authorities and LB Bromley, Local London Work and Health Programme provider, sub-regional partnerships, London Councils, Department for Work and Pensions (DWP) and Skills Funding Agency (SFA), European Programmes Management Unit (EPMU) in the Greater London Authority (GLA), voluntary sector, key borough and programme stakeholders.
<b>Key internal contacts:</b> <i>Job titles or groups of staff</i>	Senior Contract Manager, PCLO, other staff in the LLWHP team, internal relevant departments such as procurement, communications, legal, finance, and data security; other relevant strategy and Local London staff.
<b>Financial dimensions:</b> <i>Budgetary responsibility &amp; amount. Equipment, cash, property etc. for which employee is responsible.</i>	Working with PCLO and other LLWHP colleagues through regular reporting and monitoring programme of performance compliance and quality assurance including:- compliance reviews and checks, identifying risks and working with other staff as appropriate to improve financial monitoring systems as necessary.

<b>Key areas for decision making:</b>	<p>Working with the PCLO in implementing systems and procedures to ensure effective reporting and monitoring requirements are in place for the LLWHP, including compliance reviews and checks, performance reporting and risk management, improving systems as necessary to ensure that reporting and contractual requirements are met, and exercising appropriate judgement to establish when issues require escalation to the PCLO.</p> <p>Work with the PCLO and other staff as appropriate in the LLWHP team to ensure the programme meets its operational objectives, working collaboratively with the nine member authorities, the delivery provider, and other key stakeholders such as the European Programmes Management Unit (EPMU) in the Greater London Authority (GLA) who are crucial to successful delivery.</p>
<b>Other considerations:</b> <i>E.g. working patterns</i>	The post holder will be based in Ilford at the LB Redbridge but will be required to work flexibly to travel to meetings and events across the Local London area, to attend evening meetings as required, and to work remotely as required by the demands of the workload.

<b>Key accountabilities and result areas:</b>	<b>Key elements:</b>
<b>Programme management</b>	<p><b>This will involve:</b></p> <ol style="list-style-type: none"> <li>1. Contributing to the successful implementation and delivery of the LLWHP to meet Local London's strategic aims, supporting the PCLO and Senior Contract Manager and other staff as relevant in ensuring the appointed provider delivers employability services to contract requirements.</li> <li>2. Working with the PCLO in the implementation of programme management processes to achieve successful delivery, compliance with all funding requirements, and value for money, engaging with key partners and stakeholders.</li> </ol>

<b>Contract and budget management</b>	<p><b>This will involve:</b></p> <ol style="list-style-type: none"> <li>Working with the PCLO on the implementation of the reporting and monitoring requirements for the European Social Fund (ESF) grant and any other funding (such as DWP funds) for the WHP and developing or improving systems as necessary to ensure that requirements are met using guidance as supplied for ESF and DWP funding.</li> <li>Acting as a key point of contact for any ESF queries from the sub-contractor or any other stakeholders.</li> <li>Working with the PCLO and Senior Contract Manager and other staff as required on matters connected with strategy, procurement, communications, monitoring, and performance and budget reports for the programme.</li> <li>Collecting and collating key management information and performance data and preparing Management Information reports on a monthly basis, checking claims from the provider and supporting the PCLO and Programme Finance Officer (PFO) in the preparation of claims for ESF. Preparing and maintaining a dashboard of KPIs and targets, ensuring that all ESF and DWP reporting requirements are met, including all responsibilities in relation to GLA and EU audits.</li> <li>Responsible for validating job start and outcome claims and recommending adjustments to contract payments to reflect any un-validated claims, to ensure that contract payments (and other expenditure) are reconciled to ESF grant claims and supported by relevant documentation.</li> <li>Working with the PCLO with all aspects of contract management processes, implementing systems to support contract management, risk management, forecasting of outputs and verification of results and evidence for claims, reviews and audit of performance of the provider.</li> </ol>
<b>Data management, audit, evaluation and programme closure</b>	<p><b>This will involve:</b></p> <ol style="list-style-type: none"> <li>Monitoring data requirements and flows to ensure the good running, monitoring and evaluation of the programme, including regular reporting of provision of management information to ensure performance monitoring.</li> <li>Working with PCLO to support appropriate audit and evaluation arrangements for the programme, including supporting with the administration of a separate evaluation contract funded by the ESF grant.</li> <li>Implementing appropriate best practice in programme management, including programme closure arrangements when required.</li> </ol>
<b>Governance and reporting</b>	<p><b>This will involve:</b></p> <ol style="list-style-type: none"> <li>Working within the established Local London governance structures, responsible for the production of data and monitoring reports as required.</li> </ol>
<b>Communication and relationship management</b>	<p><b>This will involve:</b></p> <ol style="list-style-type: none"> <li>Providing both written and oral internal and external communications on matters associated with the monitoring and administration of the WHP, as directed by senior staff.</li> <li>Ensuring that all communications comply with ESF publicity requirements.</li> <li>Contributing to the strategic development of the programme and related initiatives, including integration with local services to maximise impact on target groups.</li> </ol>
<b>Staff management responsibilities</b>	There are no line management responsibilities

<b>Support to senior staff</b>	<p><b>This will involve:</b></p> <p>16. Supporting the PCLO and Senior Contract Manager and other senior management as required on other matters, including answering general correspondence and queries relating to the administration of the WHP.</p> <p>17. Responsible for the production of data, monitoring, compliance and audit checks and reports.</p>
<b>General accountabilities and responsibilities</b>	
<b>Green Statement</b>	<p><b>This will involve:</b></p> <ul style="list-style-type: none"> <li>▪ Seeking opportunities for contributing to sustainable development of the borough, in accordance with the Council's commitment to making Redbridge a cleaner, greener place to live. In particular, demonstrating good environmental practice (such as energy efficiency, use of sustainable materials, sustainable transport, recycling and waste reduction) in your job.</li> </ul>
<b>Data Protection/Confidentiality</b>	<p><b>This will involve:</b></p> <ul style="list-style-type: none"> <li>▪ Complying with the Data Protection Act 1998 – treating all information acquired through your employment, both formally and informally, in strict confidence and in accordance with Caldicott principles.</li> <li>▪ Complying with the Code of Conduct, other practice guidelines and the rules and protocols defining employees' access to and use of the Council's databases and systems. Any breaches could result in disciplinary measures.</li> <li>▪ Maintaining client records and archive systems in accordance with departmental procedure, policy and statutory requirements.</li> </ul>
<b>Conduct and Whistleblowing</b>	<p><b>This will involve:</b></p> <ul style="list-style-type: none"> <li>▪ Complying with the requirements of the Code of Conduct and maintaining high standards of personal conduct, honesty and integrity. You have a duty to raise any impropriety or breach of procedure to the appropriate level of management. Employees making such disclosures (whistleblowing) are protected and may make them without fear of recrimination.</li> </ul>
<b>Safer Working</b>	<p><b>This will involve:</b></p> <ul style="list-style-type: none"> <li>▪ Commitment to safeguarding and promoting the welfare of children, young people and vulnerable adults. Where you work in such a post the Council will require a DBS Disclosure check and references will be taken up prior to interview.</li> </ul>
<b>Equalities</b>	<p><b>This will involve:</b></p> <ul style="list-style-type: none"> <li>▪ Complying with the Council's strong commitment to achieving equality of opportunity and outcomes in its services to the community and in the employment of people. You are expected to understand, comply with and promote Council policies in your work, to undertake any appropriate training and to challenge any prejudice and discrimination.</li> </ul>
<b>Customer Care</b>	<p><b>This will involve:</b></p> <ul style="list-style-type: none"> <li>▪ Complying with corporate and service area customer service standards and promoting the development of high quality, individualised and customer-led services.</li> </ul>

<b>Health and Safety</b>	<b>This will involve:</b> <ul style="list-style-type: none"> <li>Being responsible for your own Health &amp; Safety, as well as that of colleagues, service users and the public. Employees should co-operate with management, follow established systems of work, use protective equipment where necessary and report defectives and hazards to management.</li> </ul>
<b>To contribute as an effective and collaborative member of the team</b>	<b>This will involve:</b> <ul style="list-style-type: none"> <li>Taking responsibility for continuing self-development and participating in training and development activities.</li> <li>Participating in the ongoing development, implementation and monitoring of the service plans.</li> <li>Supporting and contributing to value for money, service efficiencies and improvements.</li> </ul>
<b>Flexibility</b>	<b>This will involve:</b> <ul style="list-style-type: none"> <li>The above-mentioned duties are neither exclusive nor exhaustive. From time to time you may be required to undertake responsibilities outside the normal remit of your Job Description as required by the line manager, and are broadly within the grading level and competence.</li> </ul>

## Person Specification

<b>Job Title:</b>	Compliance Officer (Local London Work and Health Programme) (LLWHP)		
<i>Method of candidate assessment: A = Application form I = Interview T = Test. Weighting: 3 = most important, 2 = least important</i>		<b>A - I - T</b>	<b>Weighting</b>
<b>Minimum education/ qualifications:</b>	Educated to degree level or equivalent (preferably)	A	2

<b>Minimum experience/ knowledge/ skills:</b>	Demonstrable experience of (i) all aspects of contract management processes, implementing systems to support compliance and quality assurance, contract management, risk management, verification of results and evidence for claims, reviews and audit of performance of providers (ii) successful track record in programme management and delivery of large scale high value, sub-regional.	A, I, T	3
	Knowledge and understanding of compliance and quality assurance, contract and budget management of similar programmes to the Work and Health Programme, employment and skills programmes for unemployed and hard to reach groups preferably including experience of managing contracts funded through the European Social Fund.	A, I, T	3
	Demonstrable knowledge and understanding of data management, audit, compliance, evaluation and programme closure gained through similar programmes to the Work and Health Programme	A, I	3
	Knowledge of issues relating to strategic employment and skills policy and programme development, and how these relate to the sub-regional devolution agenda in Local London		3
	Ability to work effectively on operationalising new initiatives and to help establish and drive forward new structures and processes		
<b>Minimum behaviours:</b> Customer service	Excellent interpersonal skills and the ability to deal with a wide range of individuals and audiences.	A, I	3
Communicating and influencing others	Excellent communication and relationship management skills  Ability to communicate both verbally and using technology to a high standard.  Ability to produce briefings and reports to a high standard and for a range of audiences as required.	A, I	3
Working together	Proven experience in maintaining good working relationships with key officers and bodies that have an interest in and influence over issues (insofar as they may relate to the Work and Health Programme) such as the Local London member authorities, Jobcentre Plus, the voluntary sector etc.	A, I	3
Analysis and judgement	Ability to work as part of a team to assist in taking the necessary day-to-day decisions to ensure the effective running of the programme and management of risk across the Programme, and to exercise appropriate business and strategic judgement to establish when issues require escalation.	A, I	3
Driving improvement	Ability to think creatively and to find innovative and practical solutions that support new ways of working and service delivery models and develop best practice	A, I	3

Adaptability	Ability to work under pressure and to deadlines and respond flexibly to changing workload requirements	A, I	3
<b>Special conditions:</b>	This post will be based in the London Borough of Redbridge, but will require attendance at meetings and audit visits across the nine borough Local London Work and Health Programme on a regular basis.		

#### Organogram of LLWHP Team



