



European Union

European
Social Fund

Strategy Directorate

**Compliance Officer
Job Description and Person Specification**

Jan 2023

Job Description

Job Title:	Compliance Officer
Department:	Strategy Directorate
Function:	Responsible for the; efficient, effective and robust quality assurance and compliance monitoring of Local London's employment programmes, meeting the reporting requirements for the European Social Fund (ESF) grant, the Department of Work and Pensions (DWP) and any other funding source To support with the management and administration of the funding and contractual requirements for Local London's employment programmes.
Team:	Local London
Post number:	S000212
Contract type:	Fixed term 12 months
Grade:	LBR10: SCP 30 £38,60 - 32 £40,614
Hours/weeks: <i>E.g. 36 hours/52.14 weeks</i>	36 hours
Base location:	Lynton House, 255-259 High Road, Ilford, Essex IG1 1NN
Reports to: <i>Job title</i>	Programme Manager
Responsible for: <i>Job titles of direct reports</i>	No direct reports
Role purpose and role dimensions: <i>Overview of the job</i>	The purpose of the Compliance Officer post is to ensure that the Local London's employment programmes deliver outcomes successfully and ensure full compliance by supporting in the management of robust systems, monitoring and quality assurance. The compliance officer should ensure that all contractual obligations are met with support from their line manager.
Key external contacts: <i>Organisations</i>	Local London's local authorities: Local London's programme providers ie Maximus and Enfield Enterprise, sub-regional partnerships, London Councils, Department for Work and Pensions (DWP), European Programmes Management Unit (EPMU) in the Greater London Authority (GLA), voluntary sector, key borough and programme stakeholders.
Key internal contacts: <i>Job titles or groups of staff</i>	Contract Officers, Compliance Officers, Acting Programme Manager, Acting Head of Programmes, internal departments such as procurement, communications, I.T, finance, and data security; other relevant strategy and Local London staff.
Financial dimensions: <i>Budgetary responsibility & amount. Equipment, cash, property etc. for which employee is responsible.</i>	Working with the Contract Officer and Local London colleagues through regular reporting and monitoring programme of performance compliance and quality assurance including:- compliance reviews, observations, and sample checks, identifying risks and working with other staff as appropriate to improve financial monitoring systems as necessary.

Key areas for decision making:	<p>Working with the Contract Officers to follow, review and improve systems and procedures to ensure effective reporting and monitoring requirements are in place for the entirety of the relevant Local London Employment Programmes, including compliance reviews, observations and sample 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 Contract Officer.</p> <p>Work with the Contract Officer, and other staff as appropriate to ensure the programmes meet their 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>
Other considerations: <i>E.g. working patterns</i>	<p>The post is based in Ilford at the LB Redbridge but the postholder will be required to work flexibly, including working primarily from home and travelling to meetings and events across the Local London area, attending evening meetings as required, and working remotely as required by the demands of the workload.</p>

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

Contract and budget management	<p>This will involve:</p> <ol style="list-style-type: none"> 3. Working with the Contract Officer to ensure accurate reporting and monitoring that meets the requirements for the European Social Fund (ESF) grant and any other funding (such as DWP funds) for the employment programmes and developing or improving systems as necessary to ensure that requirements are met using guidance as supplied for ESF and DWP funding and or any other funders. 4. Acting as a key point of contact for any ESF queries from the delivery partners or any other stakeholders. 5. Working with the Contract Officer and other staff as required on matters connected with strategy, procurement, communications, monitoring, and performance and budget reports for the programme. 6. 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 Contract Officer in the preparation of claims for ESF or any other funders. Preparing and maintaining a dashboard of KPIs and targets, ensuring that all funding obligations and reporting requirements are met, including all responsibilities in relation to GLA and EU audits. 7. 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. 8. Working with the Contract Officer 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.
Data management, audit, evaluation and programme closure	<p>This will involve:</p> <ol style="list-style-type: none"> 9. Monitoring data requirements and flows to ensure the good running, monitoring and evaluation of the programmes, including regular reporting of provision of management information to ensure performance monitoring. 10. Working with the Contract Officer to support appropriate audit and evaluation arrangements for the programme, including supporting with the administration of a separate evaluation contract funded by the ESF grants. 11. Implementing appropriate best practice in programme management, including programme closure arrangements when required.
Governance and reporting	<p>This will involve:</p> <ol style="list-style-type: none"> 12. Working within the established Local London governance structures, responsible for the production of data and monitoring reports as required.
Communication and relationship management	<p>This will involve:</p> <ol style="list-style-type: none"> 13. Providing both written and oral internal and external communications on matters associated with the monitoring and administration of Local London's employment programmes 14. Ensuring that all communications comply with ESF publicity requirements where appropriate or any other funding body dependent on the programme. 15. Contributing to the strategic development of the programme and related initiatives, including integration with local services to maximise impact on target groups.
Staff management responsibilities	<p>There are no line management responsibilities</p>

Support to senior staff	<p>This will involve:</p> <p>16. Supporting the Contract Officer and Acting Programme Manager, and other senior management as required on other matters, including answering general correspondence and queries relating to the administration of Local London's employment programmes.</p> <p>17. Responsible for the production of data, monitoring, compliance and audit checks and reports.</p>
General accountabilities and responsibilities	
Green Statement	<p>This will involve:</p> <ul style="list-style-type: none"> ▪ 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.
Data Protection/Confidentiality	<p>This will involve:</p> <ul style="list-style-type: none"> ▪ Complying with the Data Protection Act 1998 and General Data Protection Regulations – treating all information acquired through your employment, both formally and informally, in strict confidence and in accordance with Caldicott principles. ▪ 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. ▪ Maintaining client records and archive systems in accordance with departmental procedure, policy and statutory requirements.
Conduct and Whistleblowing	<p>This will involve:</p> <ul style="list-style-type: none"> ▪ 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.
Safer Working	<p>This will involve:</p> <ul style="list-style-type: none"> ▪ 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.
Equalities	<p>This will involve:</p> <ul style="list-style-type: none"> ▪ 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.
Customer Care	<p>This will involve:</p> <ul style="list-style-type: none"> ▪ Complying with corporate and service area customer service standards and promoting the development of high quality, individualised and customer-led services.

Health and Safety	This will involve: <ul style="list-style-type: none"> ▪ Being responsible for your own Health & 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.
To contribute as an effective and collaborative member of the team	This will involve: <ul style="list-style-type: none"> ▪ Taking responsibility for continuing self-development and participating in training and development activities. ▪ Participating in the ongoing development, implementation and monitoring of the service plans. ▪ Supporting and contributing to value for money, service efficiencies and improvements.
Flexibility	This will involve: <ul style="list-style-type: none"> ▪ 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.

Person Specification

Job Title:	Compliance Officer (Local London)		
<i>Method of candidate assessment: A = Application form I = Interview T = Test. Weighting: 3 = most important, 2 = least important</i>		A - I - T	Weighting
Minimum education/ qualifications:	Educated to degree level or equivalent (preferably)	A	2
Minimum experience/ knowledge/ skills:	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, observations, 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, programme mobilisation and programme closure	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
Minimum behaviours: 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 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 Programmes, 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
Special conditions:	This post will be based in the London Borough of Redbridge, but will require flexible working, including remote working, attendance at meetings and audit visits across the nine borough Local London Work and Health Programme on a regular basis.		

