

JOB DESCRIPTION

JOB TITLE: COMPLIANCE AND REGULATION MANAGER

Reporting to: Assistant Director Access and Compliance

Salary: £32k

Responsible for: Compliance and Regulation Officers

JOB PURPOSE

To support the Assistant Director Access and Compliance in ensuring the requirements of all relevant regulatory bodies are met. To manage the day-to-day workload of the Compliance and Regulation Officers.

This post is based at Certa House, Wakefield. It is expected, however, that the post holder will travel to Robins Wood House, Nottingham as required.

MAIN DUTIES AND RESPONSIBILITIES

- 1 To oversee compliance with the regulatory authorities' requirements, under the guidance of the Assistant Director Access and Compliance.
- 2 To ensure the day-to-day running of the Compliance and Regulation function, including the line management of Compliance and Regulation Officers.
- 3 To manage all aspects of recognition and de-recognition by the regulatory authorities.
- 4 Under the guidance of the Assistant Director Access and Compliance to lead compliance and quality processes and procedures including self-assessment, internal and external validation.
- 5 To monitor and evaluate quality assurance information, reporting on outputs, outcomes and any areas for continuous improvement to the Assistant Director Access and Compliance.
- 6 To support and advise colleagues with risk mitigation actions required when dealing with exceptional circumstances.
- 7 To be responsible for and manage sub-contractor recruitment, selection, induction, training and budget, liaising with other appropriate colleagues.
- 8 To support the Responsible Officer with responses and updates to regulatory bodies.
- 9 To support the Executive Management Team by representing the Company at external agencies' and regulatory body meetings and seminars.
- 10 To develop new policies, procedures and KPI's to support changes to the business model as required.
- 11 To oversee in-house training on policies and procedures.

- 12 To ensure policies, process and procedures are reviewed and amended in light of recommendations including those from internal audits and self-assessment.
- 13 To lead with investigations and evidence gathering for centre enquiries, appeals, complaints, malpractice and maladministration cases, under the guidance of the Head of Access and Compliance.
- 14 To oversee and undertake internal audits as directed by the Assistant Director Access and Compliance.
- 15 To be responsible for and manage the annual review of sub-contractor requirements and invitations to work, liaising with the Awarding, Development and Delivery team.
- 16 To manage and monitor sub-contractor observations, identifying, agreeing and managing any resulting actions.
- 17 To monitor compliance and continuous improvement CPD for sub-contractors identifying, agreeing and managing any resulting actions.
- 18 To support finance in the management of debt control, applying and monitoring appropriate sanctions.
- 19 To deputise for the Assistant Director Access and Compliance in their absence.
- 20 To carry out duties and responsibilities in line with the appropriate policies.

Related Duties

- 21 To report to the Assistant Director Access and Compliance with recommendations to systems, processes and procedures within scope.

The above duties are not exclusive or exhaustive and the postholder may be required to carry out such other appropriate duties as may be determined by Assistant Director Access and Compliance

The postholder will be expected to adopt a flexible approach to ensure the efficient and effective operation of the Company.

OTHER DUTIES

- 1 To ensure awareness of, and compliance with, all health and safety requirements taking reasonable care of the health and safety of yourself and other persons in accordance with the provision of Health and Safety legislation.
- 2 To exercise proper care in operating, handling and safeguarding any equipment and appliances provided and issued by the Skills and Education Group for individual or collective use in the performance of duties.
- 3 To keep up to date, so far as is necessary for the efficient executive of the role, with new legislation, procedures and methods.
- 4 To participate in the Group's appraisal process and to undertake appropriate training/development to ensure up-to-date knowledge and practices are applied and maintained for the efficient and effective performance of the post and to support the Company's strategic objectives.

- 5 To uphold and promote the Group's Equal Opportunities and Diversity policies and practices.
- 6 To present an appropriate professional image on Skills and Education Group business.

TERMS AND CONDITIONS

This post is subject to the terms and conditions determined by the Skills and Education Group.

June 2019