



## 1. JOB TITLE

Job Title: Compliance Officer Regions/Business Units

Responsible to (insert job title): Compliance Team Manager

Department(s): Compliance Team

Last Update (insert date): 01/09/2017

## 2. JOB PURPOSE

- Responsibility, authority and accountability for all funding and compliance protocols within allocated region / business unit
- Owner of end to end learner journey administration to ensure conformity with funding and audit/inspection body legislative requirements
- Provide regular reports and accurate Management Information (MI) to the management team to support in improving learner outcomes and performance
- Provide support, advice and guidance to regions/business unit sales and delivery leaders to minimise errors in documentation and ensure the accuracy of information through a zero tolerance approach to compliance matters
- Contribute to improving internal processes and protocols through monthly management meetings with peers and managers

## 3. SCOPE

- Liaison and point of contact for regional/business area Sales and Delivery team leaders
- Attend regional/business area monthly meetings as required
- Deputise for Senior Compliance Officer during periods of absence as required/nominated
- Knowledge of all relevant assessment organisation processes for all programmes within region/business unit
- Ensure all activities are conducted in accordance with ISO 9000 / 27001 regulations



#### **4. ORGANISATIONAL POSITION**

#### **5. KEY ACCOUNTABILITIES**

- Conduct of all internal processes and protocols in accordance with agreed timescales
- Registrations of all learners successfully processed through portal stages 1-6
- Ensure correct learning aims are allocated to each learner
- Compile and maintain learner files and electronic records as required for all required learning aims
- Upkeep and maintenance of data throughout entire learner journey
- Conduct regular 'dips' into learner records to provide compliancy advice and improvement actions/sharing of best practice to sales and delivery leads
- Respond to internal audit actions as required and within agreed timescales
- Process and track region/business unit withdrawals/suspensions/reinstatements
- Conduct regular analysis of learner data within own region/business unit and provide advice and guidance to support the narrowing of gaps
- Certification of learners within agreed timescales once all documentation is received through IQA processes
- Process and track certificate issues to learners through regional/business unit delivery teams
- Completion of learner records upon receipt of certificate receipts
- Prepare learner files and records for audits as required
- Conduct and track archiving of learner files and records in accordance within internal processes
- Support archiving and return of learner evidence following external awarding organisation visits
- Produce weekly reports to show performance data to the Senior Compliance Officer
- Provide compliance inductions for new delivery and sales staff within region/business unit

#### **6. KEY PERFORMANCE INDICATORS**

- 100% of learners allocated correct funding where applicable
- At least 95% accuracy of learner data
- All service level agreements (SLA) 100% met
- 100% of learners registered on programmes
- Fewer than 5% errors with learner records in accordance with funding rules



## 7. DECISIONS AND JUDGEMENTS

- Responsibility, authority and accountability for all compliance matters within regions/business units
- Must be able to make decisions and be accountable for them
- Data management

## 8. MOST CHALLENGING/DIFFICULT PARTS OF THE JOB

- Information gathering to ensure accurate funding claims
- Working with recruitment, sales and delivery teams to gather funding paperwork
- Remaining audit ready

## 9. COMMUNICATIONS AND RELATIONSHIPS

### Internal

Compliance team  
IT Team  
Quality Team  
Recruitment and Sales Teams  
Finance Department  
Delivery Team  
Apprenticeship SMT

### External

Awarding and assessment organisations; City and Guilds, EAL, BCS, CMI, ILM etc.  
Sector Skills Councils e.g. CFA, Tech Partnership

## 10. KNOWLEDGE, TRAINING, QUALIFICATIONS AND EXPERIENCE REQUIRED TO DO THE JOB

### QUALIFICATIONS /EXPERIENCE

- Minimum of 5 GCSEs (including English and Maths) at grade C or above

### KNOWLEDGE

- Knowledge of Apprenticeships (desirable)
- Knowledge of Awarding and assessment organisation requirements (desirable)
- Databases and reporting (desirable)

### SKILLS AND COMPETENCIES



- Excellent administrative skills and ability to successfully work at a detailed level (essential)
- Focused on accuracy, quality and service
- Organised with good time management skills
- Must enjoy working with Microsoft Office, primarily Excel
- Proactive and forward thinking
- Must be a team player with relationship building skills
- Good written and verbal communication skills (essential)
- Able to work to deadlines and under pressure

## 11. QA CORE VALUES

**Integrity** We will: Be open and honest. Have trust and respect for each other. Act in the best interests of the whole business. Share knowledge and experience

**Commitment** We will: Deliver our obligations to clients and colleagues. Take individual responsibility and be proactive in delivering what we promise. Champion equality, diversity and inclusion Support our communities and protect the environment

**Service** We will: Understand our clients and exceed their expectations. Provide exceptional value. Deliver the highest quality service. Strive to continually improve and enhance our services

## 12. JOB DESCRIPTION AGREEMENT

A separate job description will need to be signed off by each jobholder to whom the job description applies.

Job Holder's Signature:

Date:

Line Manager Signature:

Date: