**THE ACTIVE LEARNING TRUST**

JOB DESCRIPTION

**The Trust is committed to safeguarding and promoting the welfare of children and young people and expects all staff to share this commitment**

# JOB TITLE Compliance Officer

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# RESPONSIBLE TO: Director of Finance

# RESPONSIBLE FOR: The post will not have direct line management duties at this time, though the giving of authoritative advice and guidance to school staff will be a day to day part of the role

1. **Purpose of the Job**

To ensure compliance levels for the implementation of Trust policies procedures and practices in schools are thorough and secure and meet the standards expected through on-site auditing visits, sampling and testing against standards defined in the testing matrix.

Train and advise all Academies finance and leadership staff on how to satisfy these compliance requirements.

# Responsibilities

Responsible to the Director of Finance for providing compliance with regard to the areas of operation identified below. These may be amended over time due to changes to legislation or decisions by the Trust board relating to policies and procedures.

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Responsible for taking decisive and pre-emptive action when required to ensure that breaches of compliance are addressed swiftly and undertaking the self-management of time and independent decision making to best effect.

**Key Duties Tasks & Accountabilities;-**

* To work with all schools in the Trust in accordance with an agreed annual programme and complete and accurately record sample testing of the following areas (detail is provided in the testing matrix)
  + Human Resources and Safeguarding
    - Personnel staffing records including Single Central Record provisions for and compliance with Safer Recruitment & Selection and employment standards and documentation. These checks will include compliance with and a full working knowledge of the requirements of DfE Guidance for Keeping Children Safe in Education. To ensure that the payroll and personnel master records accord with the school staffing records, budgets and structures as reported to the Trust and the Local Governing Body.
    - To monitor and record the uptake of HR training provisions relating to safe employment interviewing and equality & diversity practices
    - To check that school policies and practices provided by the Trust are appropriately used and version controlled within the school
    - Equal Opportunities reporting duty monitoring
    - To support the Trust Child Safeguarding lead in the checking of school level implementation of Safeguarding policies practices and records.
  + Health & Safety
    - Accident and Incident reporting / investigation
    - HANDSAM record keeping
    - Site safety and suitability audits.
  + General Data Protection Regulations (GDPR)
    - Test compliance with GDPR and Trust wide practice in relation to;-
      * Systems and processes
      * Paper recording systems
      * Data retention
      * Other systems checks as advised by external ICT advisors as GDPR becomes clearer
  + Finance
    - Internal Audit sampling works
    - Audit month end accounting return data
    - BACs run records
    - Payments to staff not via payroll
  + Premises
    - Statutory testing compliance
    - Minor works compliance
  + Other
    - Check all websites (that is both the ALT site and all school sites) contain all required information / links
    - Census data – pupil number checks
    - Any other duties which fall within the level and remit of the post where the Trust requires assurance that schools are meeting agreed standards
* Co-ordinate responses to Freedom of Information Requests across the Trust providing guidance and advice to schools, where necessary obtaining legal advice from the Trust’s Solicitors.
* To act as the designated named Data Protection Officer for the Trust. To research document and disseminate appropriate advice and guidance on data protection requirements and oversee related casework.
* To submit an annual budget request including training and external support requirements in order to comply with role of Data Protection Officer
* Manage and advise at school and Trust level on ‘live’ Data Subject access requests and record compliance with their timely and fit-for-purpose provision.
* Compiling reports on each visit to highlight areas where standards are not met and make recommendations for improvements
* Clearly document the best practice processes and procedures required of Academies in the Trust relating to the elements of compliance checking requirements
* Undertake and/or arrange school-based and Trust wide training and familiarisation sessions for school office based staff as required
* To ensure the Director of Finance can report to the Trust Board on activities standards and trends on school compliance matters. This may include attendance at Trust Board meetings when required by the Director of Finance or attendance at Local Governing Bodies where compliance issues can be further checked locally
* Any other duties which are in line with the key purpose and level of seniority of the post.

# Compliance Officer – Person Specification

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|  | **Essential / Desirable** |
| **Qualifications / Training / Technical Competencies** |  |
| Educated to NVQ level 3 or above | **Essential** |
| A further or higher education qualification | **Desirable** |
| Audit training or formal auditing qualification | **Desirable** |
| **Knowledge, Skills, Understanding & Experience** |  |
| Experience of carrying out internal / external audit | **Desirable** |
| Experience of working in a highly regulated role where compliance with regulations was essential | **Desirable** |
| Experience of working effectively without supervision and remotely from several bases of operations whilst retaining focus and strong time management. | **Essential** |
| Experience of producing reports across a range of disciplines and potentially covering multiple locations | **Essential** |
| Excellent written and oral communication skills with a calm and approachable demeanor | **Essential** |
| Good administration and ICT skills- particularly the operation at intermediate level for the Microsoft Office Suite (or equivalent). | **Essential** |
| Familiarity (or if not the willingness and ability to learn) how to use the Trust’s accounting software – currently PS Financials, Health & Safety software Payroll and Personnel systems and software HANDSAM | **Essential** |
| Ability to provide open and honest feedback to colleagues as required on process matters in a way which commands natural authority and motivates individuals to support / action as required. | **Essential** |
| Ability to plan and prioritise own workload and work in a self- managed way to achieve priorities | **Essential** |
| Methodical, organised and with an eye for detail | **Essential** |
| Ability to meet deadlines and to work to strict timescales | **Essential** |
| Integrity, discretion an d the ability to maintain confidentiality | **Essential** |
| Essential car user able to undertake regular travel to the main location of the Trust’s office base and to all Trustother schools in the Trusts family of academies or other necessary locations as required | **Essential** |
| Previous experience of working in an academy – or ideally across a group of Academies within an Academy Trust | **Desirable** |
| Excellent working knowledge of relevant policies, codes of practice and legislation – ideally as they relate to the Academies context and agenda | **Desirable** |