

JOB DESCRIPTION

Job Title:	<u>Head of Compliance</u>	Version:	<u>3</u>
Department:	<u>Regulation and Compliance</u>		
Reports To:	<u>Director of Qualifications & Standards</u>		
Supervises:	<u>Compliance Manager</u>		
Grade:	<u>17</u>	Date:	<u>August 2024</u>

Purpose of Job:

The Head of Compliance reports directly to the Director of Qualifications and Standards and is responsible for the day-to-day operations of the compliance department, ensuring the organisation's unwavering adherence to regulatory standards, best practices and internal policies, and specifically ensuring regulatory compliance relating to qualifications in the UK and overseas.

The Head of Compliance oversees, manages and reduces regulatory risks to the organisation and acts as the primary contact for regulatory queries from stakeholders, customers and regulators, and other awarding organisations. The Head of Compliance is responsible for driving compliance initiatives and promoting a positive culture of compliance throughout the organisation.

The Head of Compliance supports the leadership team and academic managers across the organisation, ensuring they remain regulatory compliant across all activities and provides timely advice and information on regulatory changes to inform decision-making and business planning.

Overview

The role of Head of Compliance requires extensive knowledge and experience of the awarding sector and regulatory principles and practice to ensure the validity and reliability of qualifications and compliance with regulatory conditions and principles.

Supporting the Responsible and Deputy Responsible Officers, the Head of Compliance is responsible for the implementation, maintenance, review and continuous improvement of the organisation's compliance function, ensuring the organisation remains compliant from a qualification and assessment perspective, adhering to the regulatory conditions, principles, and standards of good practices of qualification regulators and other agencies.

Coordinate and Support high-stakes regulatory projects, such as event notifications, DfE submissions, audits, and regulatory reviews. Establish and lead our internal and independent audit function. Effectively allocate and manage resources to ensure efficient and effective departmental operations. Foster strong relationships with regulators, stakeholders, and industry partners. Promote continuous improvement and innovation within the compliance function to enhance efficiency and effectiveness. Serve as the primary point of contact with qualification regulators, leading internal and independent audits, and managing data returns. As the main day-to-day point of contact with qualification regulators, the Head of Regulation will also lead our internal and independent audit function and be responsible for data returns to regulators and other agencies.

The Head of Compliance plays a crucial part in ensuring the organisation's continued compliance and success.

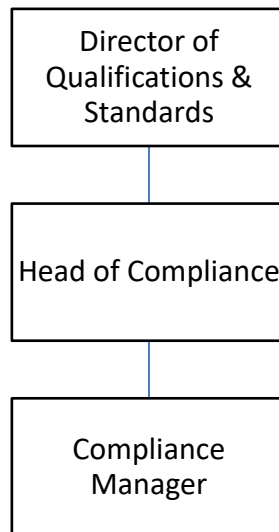
Dimensions:

Financial:	Responsible for managing an annual budget to support regulatory activities, including internal and independent audits.
Staff:	The Head of Compliance supports the leadership team and all managers across the organisation, ensuring compliance is maintained across activities and processes. The Head of Compliance line manages the Compliance Manager.
Others:	This role is the main contact for the Trustee Committee – The Regulatory Quality Committee.

Working Relationships and Contacts:

- Regular contact with the Responsible and Deputy Responsible Officer
- Line management of the Compliance Manager
- Daily contact with Qualification and Standards Department Heads, providing advice, guidance and support on all compliance matters.
- Frequent contact with regulators, other agencies and third-party suppliers and contractors.

Organisation Structure:



Principal Accountabilities:

1. Develop, implement, and maintain the organisation's regulatory compliance framework and strategies to ensure the organisation's adherence to all relevant UK and international qualification and assessment regulations, standards, and guidelines.
2. Support senior colleagues in coordinating and responding to regulatory audits, and thematic and readiness reviews.
3. Ensure that all organisational policies, processes and procedures meet legal and regulatory criteria, conditions and principles.
4. Conduct internal compliance checks, reviews, and interviews across departments to ensure teams meet regulatory requirements.
5. Arrange and manage the organisation's internal and independent audit functions, ensuring the effectiveness of compliance controls and identifying potential risks.
6. Manage, improve and support the self-evaluation process, allocating conditions and principles to key managers and monitoring progress against set criteria and timescales.
7. Manage and maintain our internal database of compliance evidence across the qualification and standards division, and lead on our annual statements of compliance returns.
8. Conduct regular risk assessments to identify and mitigate compliance risks, developing and implementing appropriate measures to safeguard the organisation's reputation and operations.
9. Develop, implement, and maintain clear compliance policies and procedures, ensuring they are effectively communicated and enforced throughout the organisation.
10. Build and maintain strong relationships with regulators, stakeholders, and industry partners, fostering collaboration and ensuring the organisation's compliance with external expectations.
11. Act as the organisation's primary day-to-day contact with qualification regulators and other agencies, leading communications through the regulatory portal.
12. Coordinate all data returns to qualification regulators and other agencies.
13. Drive a culture of continuous improvement within the compliance function, identifying opportunities for enhancement and implementing best practices to optimise efficiency and effectiveness.
14. Lead and manage the compliance department, including the Compliance Manager, and support all academic managers in maintaining regulatory compliance.
15. Manage data returns and submit any information requests from any regulators.

General Responsibilities:

- Undertake training and development as required by the organisation.
- Demonstrate by actions commitment to organisation's Values.
- Demonstrate by actions commitment to equality, diversity and inclusion.
- Any other duties commensurate with role to support the organisation's business needs.
- To be responsible for their own health and safety.

Person Specification:

ATTRIBUTES	ESSENTIAL	DESIRABLE
<p>Knowledge <i>This relates to the level and breadth of knowledge required to do the job, e.g. an understanding of a defined system, practice, method or procedure.</i></p>	<ul style="list-style-type: none"> • Working knowledge of regulations in the awarding environment. • Knowledge of teaching and assessment in the further education sector. • Knowledge of managing complex administrative projects. • Knowledge of compliance methodologies, risk management, and internal audit practices. • Expert knowledge of qualification regulations in the awarding environment. 	<ul style="list-style-type: none"> • Understanding international regulatory frameworks applicable to awarding organisations.
<p>Technical/Work-based Skills <i>This relates to the skills specific to the job, e.g. language fluency, typing skills, etc.</i></p>	<ul style="list-style-type: none"> • Excellent writing and proof-reading skills. • Exceptional eye for detail. • Proficient IT skills including Microsoft Outlook, Excel and Word. 	
<p>General Skills/Attributes <i>This relates to more general characteristics required to do the job effectively, e.g., effective written communication skills, ability to delegate, motivation or commitment etc.</i></p>	<ul style="list-style-type: none"> • Excellent communication, interpersonal and leadership skills, including diplomacy and negotiation skills. • Ability to lead others and develop a team. • Ability to work to deadlines under pressure. • Sound time management and organisational skills. • Ability to work effectively with cross-functional teams and build strong relationships with colleagues and other stakeholders. • A strong commitment to ethical conduct and compliance with regulatory requirements. 	

<p>Experience <i>This is the proven record of experience and achievement in a field, profession or specialism. This could include a minimum period of experience in a defined area of work (take care to ensure period stated is appropriate and not unnecessarily excessive)</i></p>	<ul style="list-style-type: none"> • Experience of working in a compliance role within a regulatory environment. • Teaching or educational experience or equivalent experience. • Experience of project management. • Managing a team of remote workers including performance management. 	<ul style="list-style-type: none"> • Specialist expertise in pedagogy. • Experience of having national responsibility for qualification design or educational policy.
<p>Qualifications <i>Please state the level of education and professional qualifications and/or specific occupational training required</i></p>	<ul style="list-style-type: none"> • Degree and post-graduate qualification. • Project management qualification or equivalent experience. • Management qualification or equivalent experience. 	<ul style="list-style-type: none"> • Auditing qualification. • Training in qualification design principles/regulatory practice. • Formal training in proofreading. • IT qualification.



Job Description Document Confirmation Section

Job Title: Head of Compliance

Department: Regulation & Compliance

I confirm that this is a true and accurate reflection of this job

LINE MANAGER/SUPERVISOR signature **Print Name**

Date

JOBHOLDER signature **Print Name**

Date

Comments/Notes: