Compliance Officer

FG20 SD10

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| **Job Title**  | **Compliance Officer** |
| **Service Area** | **Specialist Services – Environment & Regulatory** |
| **Grade** | **Compliance Officer Level 1 – Grade 3****Compliance Officer Level 2 – Grade 4****Compliance Officer Level 3 – Grade 5** |
| **Job Reference** | **FG20 SD10** |

| **Reporting to** | **Responsible for** |
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| Senior Compliance Officer | N/A |

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| **Team Purpose** |
| Provide expertise to deliver the Council’s outcomes in the Environment portfolio, with emphasis on maintaining compliance of individual and corporate customers to meet statutory obligations. |

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| **Role Purpose**  |
| To deliver a professional service with high standards of advice and support and resolving cases of varying complexity as they arise. Ensure compliance with statutory regulations, legislation, professional codes of practice and adherence to council policy. Deliver projects, interventions and initiatives and develop policies (together with the Strategy teams) in-line with corporate and business plans. Ensure and develop appropriate levels of quality and specialist knowledge within the Case Management and Customer Services teams.  |

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| **Key Accountabilities** |
|  **Compliance Officer Level 1:*** Provide technical oversight of private sector housing, environmental health and safety, licensing, grant surveying and building control
* Deliver customer-focused specialist advice, services and enforcement for one area of specialism, keeping up to date with current and emerging legislation, best practice and policy to ensure continuous development and improvement in services
* Ensure personal, professional development is maintained to the required standards
* Working collaboratively with colleagues across the organisation, members and managing key relationships e.g. with members, partners, other stakeholders.
* Access and accurately update all relevant information systems, both customer and back office ensuring that the master customer record is updated and maintained through verification and validation, and in accordance with Data Protection principles
* Responding to customer calls including litter and dog waste in the street, fly tipping and bins being left out
* Contribute to the Council’s legal duty under the Crime and Disorder Act 1998, Environmental Protection Act and Policing and Antisocial Behaviour Act 2014 and any other current or future legislation that would assist the post holder to complete their task.
* To become an accredited officer under the Community Safety Accreditation Scheme (CSAS)

**Compliance Officer Level 2 (in addition to the above):*** Manage complex or contentious applications, cases and inspections that will require an understanding of one specialist area, processes and compliance, regulations and legislation, acting as the single point of contact for customers on those cases, attending court as appropriate
* Acting as member of corporate or community project teams - providing specialist advice and input
* Provide functional guidance to customer service advisors and caseworkers for at least one area of specialism

**Compliance Officer Level 3 (in addition to the above):*** Owning key professional and technical stakeholder relationships on behalf of the Council relevant to day-to-day delivery of services or projects
* Provide functional guidance of complex or contentious applications, cases and inspections in at least one specialist area

**Appointment and progression through grades will be based on the needs of the business** |

| **Key Objectives** |
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| **Working with customers** | Able to identify and develop opportunities to improve the customer journey. Champion own ideas for the improvement of service and processes.Develop digital and self-service channels and implement customer enabling and prevention opportunities. |
| **Working towards the Corporate Plan** | Contribute to Corporate Plan and the development of associated plans and policies. Deliver agreed objectives and services associated with the Corporate Plan.  |
| **Knowledge of services** | In-depth understanding of specialist area, being professionally qualified in one and having a good understanding of the operation of another. |
| **Using systems effectively** | Advanced skills in a number of Specialist Services systems and proficient in use of Customer Services systems. |

| **Specific Tasks** |
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| **Case management skills** | Lead/assist/support a Community of Practice across Specialist Services. Manage and resolve complex or contentious applications, cases and inspections using specialist expertise and judgement, act as a single point of contact for customers, and attend court if necessary. Advise the Case Management team on aspects of minor/less contentious applications or cases. |
| **Team work and working with others** | As part of the Specialist Team work collaboratively across the council to provide a seamless service to customers, collaborate on corporate projects and engage positively and effectively with members, partners and other stakeholders. Conduct self and work in ways which encourage communication and empowerment within the team. Develop skill levels of self and others to support multi skilling and knowledge transfer. |
| **Enquiries, reports and service requests** | A member of a comprehensive specialist customer focused advice team, ensuring specialist advice and input is provided where required.Provide specialist advice and input to commissioning and contract management. Prepare and present reports to committees or other internal or external meetings. |
| **Processing and administration** | Access and accurately update all relevant information systems, ensuring the "golden customer record” conforms to all verification and validation processes and in accordance with Data Protection principles and council policy. |
| **Strategy and policy** | Support projects and contracts within own professional area that deliver community and corporate objectives. Provide specialist advice and input to corporate projects.  |
| **Performance** | Implement strategies, policies, service and financial plans, to ensure statutory and corporate targets are met and provide best value for the council. Draft policies which respond to emerging legislation, best practice and guidance to ensure continuous development and improvement in services.Understand strategy, performance and quality assurance standards and service/financial planning requirements for own specialist area. |

| **Qualifications** |
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| **Compliance Officer Level 1:** Educated to NVQ level 3 / A Level standard or equivalent experience.**Compliance Officer Level 2:** Educated to A’ level standard/NVQ 3 and/or experience in working in specialist area. Degree in a relevant subject (desirable).**Compliance Officer Level 3:** Degree / relevant qualification and/or extensive work experience in specialist area. Working towards professional qualification |

| **Knowledge, Skills and Experience** |
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| **Compliance Officer Level 1:*** Experience and knowledge of compliance area
* Reasonable working knowledge of legislation and developments in specialist area
* Proven ability to give sound advice and guidance on specific, straightforward cases, topics or issues
* Experience of working with systems relevant to specialist area
* Experience of casework, within specialist area with some guidance and support of more experienced staff, occasionally referring to Specialist Level 3 and Senior Specialists for work outside previous experience
* Proven ability to enforce legislation where appropriate

**Compliance Officer Level 2 (in addition to the above):*** Good working experience and knowledge of specialist area
* Good working knowledge of legislation and developments in specialist area
* Proven ability to give sound advice and guidance on a limited range cases, topics or issues
* Experience of working with systems relevant to specialist area

**Compliance Officer Level 3 (in addition to the above):*** Experience of casework, within specialist area, some of which can be complex, and with some guidance and support of more experienced staff, occasionally referring to Senior Specialists for work outside previous experience
* Proven ability to enforce legislation where appropriate
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| **Special Requirements** |
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| **Emergency Planning** | This post will be, on occasions, required to take part in the Council’s emergency planning training and may be called upon in the case of such an emergency. Where necessary this will include unsociable hours. |
| **Election Duties** | This post will, on occasion and with reasonable notice, be expected to assist with election duties as required and this will include working unsociable hours. A separate payment for election duties will be made as determined by the regional Elections Committee. |

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| **Standard Terms** | 1. To comply with appropriate legislation, service and Council policies.
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| 2. All employees have responsibility under the Health and Safety at Work, etc. Act 1974. These responsibilities are laid out in the Council’s health and safety policy and procedures. |
| 3. To support and be committed to the Council’s policy on safeguarding and promoting the welfare of vulnerable groups including young children and adults and expect all staff and volunteers to share this commitment. |
| 4. To support the Council’s equalities and diversity policies. |
| 5. To operate within the Council’s IT policies and data protection rules and regulations. |
| 1. To operate within the Council’s financial regulations.
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| 1. Manage budgets and resources ensuring that they are deployed effectively with robust internal controls and compliance with relevant regulations, policies and guidelines.
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| 1. To participate in internal committees and departmental working parties to ensure continuous improvement as required.
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| 1. Any other reasonable duties as may be required from time to time.
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**Competency Framework**

Central to the delivery of the role are the Council’s values and behaviours and all employees are expected to work within the Council’s Organisational Culture Framework. These are shared by all employees and applied to everything we do. The points for each competency are shown below:

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| **Guildford behaviours [competencies]:** see the framework in the Performance Review Toolkit for a full list behavioural indicators |
| **Core Competencies - All Workforce** |
| **Embraces Change** | Has a positive attitude to change, adapts to meet new challenges and introduces changes to improve organisational performance. |
| **Innovation and creative thinking** | Proactively generates and develops innovative ideas, opportunities or improvements in order to meet organisational objectives more efficiently and effectively. |
| **Effective communication** | Communicates effectively. Uses communication methods and standards, together with well-reasoned arguments, to convince and persuade where necessary. |
| **Customer focus** | Puts the customer first, builds effective relationships and seeks feedback to address their needs. |
| **Problem solving & decision making** | Understands and analyses issues in order to identify the most appropriate solutions. Makes effective decisions based on thorough analysis and the needs of the organisation. |
| **Focus on efficiency** | Meets or exceeds the Council’s standards by monitoring the quality of own work, team or service delivery. Continually looks for areas of improvement to ensure efficiency, effectiveness and value for money. |
| **Performance and learning** | Demonstrates personal commitment to meet agreed performance standards and objectives. Learns from experience and takes responsibility for identifying and addressing personal development needs. |
| **Team working** | Proactively cooperates and interacts with colleagues, internal and external partners across the Council. Encourages others to develop a collaborative approach to share information, knowledge and ideas.  |
| **Builds relationships**  | Presents a professional image and uses interpersonal skills to form positive and productive working relationships within and beyond the organisation. |
| **Commitment to the organisation** | Consistently supports and demonstrates an understanding of and commitment to the Council’s vision and values. Acts with integrity and accountability.  |

All employees are expected to be flexible in undertaking the duties and responsibilities attached to their role and may be asked to perform other duties, which reasonably correspond to the general character of their role and their level of responsibility. All employees are required to be flexible and undertake out of hours work as required. Meetings outside office hours will be routine and officers will be expected to attend. This job description will be supplemented and further defined by annual objectives which will be developed in conjunction with the postholder. This job description will be subject to regular review and the Council reserves the right to amend or add to the details.

**Key Policies**

We are an equal opportunities employer and therefore all staff are expected to comply with our equality policies and help create a work environment in which everyone is treated with dignity, respect, courtesy and fairness. You are also expected to fully comply with health and safety policies and procedures in force to help maintain and develop a safe working environment. In pursuing a practice of continuous improvement and seeking to obtain best value in all aspects of the service, staff will be expected to assist in other such duties as may be allocated for the benefit of the organisation and their own personal development. Staff will be expected to assist if the Council has to deal with the results of a civil emergency.

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| **Signed (Job Holder):** |  | **Date:** |
| **Signed (Service Lead):**  |  | **Date:** |

**Back Sheet**

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| **Environmental Control** |
| To assist in the effective co-ordination of enforcement activities. Including investigating complaints, compiling evidence, enforcing by-laws and public spaces protection orders, correct use of PACE, taking statements, conducting tape recorded interviews under caution, foot and vehicle patrols, setting up and use of CCTV, issuing of FPNs where required/appropriate, preparing files for the issue of legal proceedings and giving evidence in court. |
| To attend meetings with residents and groups as appropriate, for the purposes of education and enforcement.  |
| Liaise with other agencies such as the Police, Experience Guildford, Host Outreach, RSPCA, Wildlife Trust, Environmental agency and Surrey County Council as required. |
| To ensure that a full knowledge of appropriate legislation applying to duties and responsibilities of the post holder is maintained and updated by attendance on relevant courses of instruction. |
| **Licensing** |
| To carry out complaint investigations and respond to service requests under the Licensing remit. To report the findings of investigations to the Compliance Lead upon the conclusions of investigations.  |
| To conduct inspections, compliance and monitoring visits for licensed and unlicensed premises, persons and activities within the Licensing remit. To report to the Compliance Lead on the outcome of the visits. Including the preparation of reports, investigation files, conducting PACE interviews, attend court and sub-committee hearings to give evidence.  |
| To take and recommend appropriate action in line with the Council’s procedure and delegations in relation to breaches of licence conditions and contraventions of licensing legislation.  |
| **Planning Enforcement** |
| To investigate alleged breaches of planning control, prepare reports and other evidence to sufficiently enable the Council to decide whether to pursue enforcement action and or prosecution. |
| To ensure the compliance and enforcement of planning conditions relating to approved development.  |
| To remove and deal with fly posting, illegal signage and any other issues that may be in connection with a breach of the 2007 Advertisement Regulations.  |
| **Private Sector Housing** |
| Ensuring close liaison with Housing Specialists so that any entitlement has been assessed. |
| Ensure properties meet the legal requirements for health and safety. |
| Arranging inventories at check in and check out of tenancies. |
| Ensuring gas safety certificates are obtained for every letting. |
| Ensuring electric safety certificates are obtained for every letting when required. |
| Ensuring that there is a current energy performance certificate. |
| Ensuring clients have the right to rent. |
| Contributing to and carrying out procedures to detect fraud. This will include:* bringing to the attention of the relevant Senior Officer where there is a suspected fraud
* liaising with other sections or departments, i.e. Specialist Services, Legal Specialists
* working with other agencies and departments in the detection of fraud
* carrying out interviews under caution and record as required
* giving evidence in court proceedings if required
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| **Animal Welfare** |
| Within the relevant statutory framework, ensure the licensing of premises at which animals are kept and animal welfare matters over which the Council has responsibility are operated in accordance with statutory requirements. To be responsible for and as appropriate, use the full range of powers given to the post holder in the scheme of delegation.  |
| To investigate and respond to all complaints and service requests about animal welfare in an appropriate manner. |
| To co-ordinate and conduct inspections, compliance and monitoring visits for licensed and unlicensed premises, persons and activities within the remit of the Animal Licensing Service.  |
| To take appropriate enforcement action, in accordance with our enforcement policy and procedures, in relation to breaches of licence conditions and contraventions of licensing legislation. Including the collection of evidence, taking witness statements, preparation of reports, investigation files, attend court and sub-committee hearings to give evidence.  |
| To take action under the provisions of the Environmental Protection Act 1990 relating to stray dogs. This includes educating owners and working with the Police in ongoing cases where Anti-Social Behaviour legislation may be applied to the owner.  |
| To take prompt action with regard to dangerous dogs (usually in association with the police), and to represent the community in obtaining court orders for dog control. This may include giving advice to dog owners and prosecution.  |
| **Food Health and Safety** |
| The main purpose of the job is to provide a good service within the borough of Guildford in checking on standards of compliance in workplaces within the provisions of the Food Safety Act 1990 and the Health and Safety at Work, etc Act 1974.  |
| The post holder will also assist with checking on the standards of compliance at premises licensed under the Licensing Act 2003 and similar licences and consents issued by the Council. |
| The post holder will be expected to work at various hours including evenings and weekends by arrangement with his/her supervisor, to reflect the special nature of the regulatory duties attached to this post.  |
| The post holder will be expected to take part in the Council’s noise patrol on a rota basis. However, in relation to the Out of Hours Noise Patrol a payment will be paid per shift worked, as detailed in the Terms of Reference. |
| **Occupational Health and Food Safety** |
| To carry out the work of the team, including:* food safety inspections
* food sampling
* occupational health and safety inspections
* food and health and safety complaint investigations
* accident/ill health investigations
* provision of food safety and occupational health and safety advice
* health promotion
* commenting on food safety and health and safety aspects of licensed premises applications
* undertaking monitoring visits in respect of licensed premises and events
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