



# Role Profile

## April 2019

<b>Job Title:</b>	<b>Governance &amp; Compliance Manager</b>
<b>Reporting To:</b>	<b>Head of Housing &amp; Business Support (with a dotted line to the Executive Director)</b>
<b>Purpose:</b>	To demonstrate effective management and provide a robust, independent and objective oversight of all aspects of the organisation's business in relation to governance, compliance, taking overall responsibility for the Business Support Team.
<b>Direct Reports</b>	Executive Assistant (Business) x1 Business Support Assistant x1 In-house Legal Advisor (landlord and tenant) x1

### KEY ACCOUNTABILITIES

Producing an assurance map and ensuring an appropriate programme of compliance checks across the business. Providing regular reports and presenting them to the Senior Management Team, Board and partner organisation, Network Homes on assurances and producing SW9's statement of internal control at year end.

Supporting the delivery of an effective risk management framework across the business. This includes working with the Executive Director and SLT on SW9's risk map.

Overseeing high level case work associated with compliance (including data protection and privacy legislative compliance) and the management of complaints.

Coordinating the work of both external and internal audits. This includes working with Network Homes' internal auditors to propose an annual audit plan that reflects SW9's key risk areas highlighted in the risk register, reviewing scope of work prior to audits and ensuring the smooth delivery of the internal audit programme.

Coordinating the Company Secretariat service including overseeing all arrangements for Board and Committee meetings including annual governance, regulatory reviews and general support for the Board. Providing sound legal, governance, internal audit and guidance to the Board, Committee Members and the Senior Leadership Team to ensure that they are able to carry out their roles, duties and responsibilities and that they comply with corporate legislation and the Articles of Association of the organisation.

Overseeing and managing all activities of the Business Support team including the in-house legal services.

	<b>KEY ACHIEVEMENT AREAS</b>
<b>Governance</b>	<ul style="list-style-type: none"> <li>• Ensure SW9 meets all its legal, statutory and regulatory requirements and has strong systems of internal control, performance reporting and audit in place.</li> <li>• Deliver excellent governance by ensuring the activities of SW9 are carried out to the highest standards of integrity and professionalism in accordance with statutory bodies and regulatory requirements, relevant legislation and best practice.</li> <li>• Co-ordinate Company Secretarial and business support including corporate filings, corporate register maintenance and management of the board (appraisals, training, recruitment). Ensuring attendance of all Board and Committee meetings, comprehensive minutes, action points and resolutions are taken, circulated and followed up and overseeing Board and Committee meeting arrangements (inc. yearbook, annual work schedule, venue).</li> <li>• Act as Data Protection Officer for SW9, oversee all data protection arrangements and seek to ensure compliance with the Data Protection Act 2018 by the business. Review and conduct Data Protection Impact Assessments, deliver training to staff as needed, and investigate data protection breaches as necessary.</li> </ul>
<b>Risk &amp; Compliance Management</b>	<ul style="list-style-type: none"> <li>• Support the Head of Finance in maintaining the SW9 risk management framework. Coordinate data protection risk assessments and equality impact assessments if, and when, required, including identification, description, estimate and analysis of the risks affecting the organisation.</li> <li>• Establish a standard regular risk report for the various levels of governance in the organisation to demonstrate that the most significant risks have been identified and ascribing ownership of risks and the intended mitigating actions.</li> <li>• To provide independent scrutiny of risk evaluations and risk mitigation measures providing regular reports to the SLT and the Chair of the Finance, Risk and Audit Committee.</li> <li>• Provide support, education and training to staff to build risk awareness within the organisation.</li> </ul>
<b>Audit</b>	<ul style="list-style-type: none"> <li>• Prepare audit plans with reference to any business risks and assurance requirements.</li> <li>• Ensure fieldwork for audits agreed in the Annual Audit Plan is completed.</li> <li>• Liaise with operational management to summarise audit outcomes and secure agreement to control improvement recommendations.</li> <li>• Ensure the timely issue of audit reports.</li> <li>• Report to senior management on internal audit activities, including progress towards completion of the Annual Audit Plan.</li> <li>• Validate the implementation status of agreed Audit Actions.</li> </ul>
	<ul style="list-style-type: none"> <li>• Support the Senior Leadership Team (SLT) in delivering its strategic objectives.</li> </ul>

<b>Strategic Support</b>	<ul style="list-style-type: none"> <li>• Deliver and drive forward the Operational Plan to ensure SW9 continues to be a forward-thinking, responsive, efficient and dynamic organisation.</li> <li>• Lead in the delivery of the strategic objectives of the Organisation as set out in the Management Agreement and Business Plan.</li> <li>• Support the Board and SLT in the development of strategic plans which ensure that SW9, working in partnership with customers and other stakeholders, delivers positive outcomes for tenants and the wider community.</li> </ul>
<b>Support Services</b>	<ul style="list-style-type: none"> <li>• Ensure the expectations of Network Homes are met in line with the Management Agreement, Roles &amp; Responsibilities Register and other governing documents.</li> <li>• Ensure the provision and maintenance of high quality, responsive services to tenants and residents in accordance with regulations, policies, business plans and the business, support and legal budgets.</li> <li>• Ensure that the Consumer and Economic standards of the Regulator for Social Housing are met.</li> <li>• Support SW9 in achieving excellence in customer service with a focus on continuous improvement, transforming and innovating services to the community.</li> <li>• Ensure that SW9 continues to promote a strong, positive image.</li> <li>• Support the in-house Legal Advisor in acting for the landlord and managing agent in all claims and ensuring legal risks are identified and action taken at an early stage.</li> </ul>

<b>Managing self and personal skills</b>	<ul style="list-style-type: none"> <li>• Perform other duties as may be required by the Chair and the SLT.</li> <li>• Manage own continuous professional development utilising available learning resources and opportunities and own personal networks</li> <li>• Conform with accepted standards of conduct and behaviour which includes awareness of risk, health and safety at work, data protection and embracing the cultural diversity of all colleagues and customers</li> </ul>
<p><b>Undertake other duties and responsibilities of a similar nature which reflect the level of those described above that may be required. The post holder may be required to undertake duties at this level elsewhere within the service.</b></p>	
<p><b>Contacts - External/Internal</b></p> <ul style="list-style-type: none"> <li>• Leaseholders and resident representatives</li> <li>• Managers and staff within SW9 and Network Homes</li> <li>• Lawyers and Advisors</li> <li>• Legal Team within Network Homes</li> <li>• Internal and External Auditors</li> <li>• Data Protection Team at Network Homes</li> <li>• Directors and Seniors managers</li> <li>• Courts and Tribunals</li> <li>• Other external contacts as needed</li> <li>• Board members</li> </ul>	
<b>Person Specification</b>	<b>Essential: E</b> <b>Desirable: D</b>
<p><b>Education</b></p> <ul style="list-style-type: none"> <li>• Educated to degree level, or equivalent, with a further business qualification</li> <li>• ICSA professional qualification, other governance qualification or someone who is qualified by experience</li> </ul> <p><b>Knowledge and skills</b></p> <ul style="list-style-type: none"> <li>• Demonstrable communication, planning and organisational skills</li> <li>• Ability to provide expert strategic and operational advice in governance and compliance to senior leadership team, board members and other stakeholders</li> <li>• Commercially and financially strong, with demonstrable experience of embedding a strategic governance framework.</li> <li>• Possesses excellent stakeholder engagement and influencing skills</li> <li>• Visible, approachable and possessing high-level communication skills. Resilient, robust, confident and determined, but self-aware and committed to addressing areas of development</li> </ul>	<p style="text-align: center;"><b>E</b></p> <p style="text-align: center;"><b>E</b></p> <p style="text-align: center;"><b>E</b></p> <p style="text-align: center;"><b>E</b></p> <p style="text-align: center;"><b>E</b></p> <p style="text-align: center;"><b>E</b></p>

<ul style="list-style-type: none"> <li>• Ability to efficiently plan and manage the workload of others and continue to work to deadlines to ensure successful delivery</li> </ul>	E
<ul style="list-style-type: none"> <li>• Great attention to detail and strong communication skills</li> </ul>	E
<ul style="list-style-type: none"> <li>• Ability to understand the usage of data within the business, and using appropriate techniques and tools, draw appropriate conclusions</li> </ul>	E
<b>Experience</b>	
<ul style="list-style-type: none"> <li>• Experience of delivering a company secretary function</li> </ul>	E
<ul style="list-style-type: none"> <li>• Demonstrable experience in managing staff and performance management</li> </ul>	E
<ul style="list-style-type: none"> <li>• Knowledge and experience of data protection regulations and how this impacts service providers</li> </ul>	E
<ul style="list-style-type: none"> <li>• Experience of managing an office environment including administration and facilities management.</li> </ul>	E
<ul style="list-style-type: none"> <li>• Risk management, audit, quality assurance experience in a similar setting</li> </ul>	E
<ul style="list-style-type: none"> <li>• Have a demonstrable record of previous experience in audit and compliance roles</li> </ul>	D
<ul style="list-style-type: none"> <li>• Experience of managing operational budgets</li> </ul>	D
<ul style="list-style-type: none"> <li>• Experience in a similar housing governance role is desirable.</li> </ul>	D
<ul style="list-style-type: none"> <li>• Experience gained in or around the social housing, tenant management, urban regeneration sectors.</li> </ul>	D