

Job Description

Prifysgol Wreccsam
Wrexham University

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Faculty/Department	Secretariat
Section	Compliance & Risk
Job Title	Corporate Compliance Manager
Reports to	General Counsel and University Secretary
Responsible for	
Grade	SAP2

Principal Accountabilities

To manage the compliance and risk function on behalf of General Counsel and the University Secretary in the provision of the University's legal and statutory obligations in the fields of Corporate Risk, Internal Audit, Information Governance, Insurance and the Welsh Language Standards Compliance.

Work across the University Group to provide support, advice and guidance on appropriate compliance framework, policies, and procedures, which will facilitate the University in identifying assessing and managing compliance risk within the university, meeting the standards set and regulatory requirements.

The postholder will be responsible for overseeing and leading the Information Governance and Risk function, managing and ensuring compliance with regulatory requirements across a range of the University's activities, working cross-functioning with staff across the University Group to develop systems and reporting to give confidence to the Vice Chancellors Executive Team and relevant committees that the University is and remains compliant.

Key Tasks

Manage and resolve compliance problems where guidance is not specific. Be responsible and accountable for dealing with ad hoc situations and provide advice to external boards (ICO, SIA,

Welsh Language Commissioner, Police) and to both Board of Governors, their sub-committees and internal management committees.

Lead the section in the provision of excellent, accurate and timely service delivery for internal and external clients. Deliver and make a significant contribution to the decision making in information governance, compliance and risk management.

Conduct both complex and standard investigations and ensure timely analysis and interpretation of the facts attained. Be accountable for reporting such findings to internal and external bodies such as Information Commissioners Office, Welsh Language Commissioner, the SIA and Audit & Risk Committee.

Formulate and lead on the development, delivery and monitoring of the university annual and ad hoc plans for substantial areas of work aligning this to the Board of Governors reporting cycles and the Regulator Medr and the University Strategy Plans including any relevant KPIs. Lead, manage and determine the appropriate responses for DPA, UK GDPR and FOIA requests, including the application of exemptions and exceptions. Prioritise and plan workloads effectively to balance request processing and other duties, ensuring that requests are answered within statutory deadlines. Maintain a diverse caseload, progressing multiple cases in tandem.

Oversee and undertake research and produce high-quality briefings, reports correspondence and strategic updates for the University executive and the Board of Governors and attend relevant committees and external events representing the University. Research and interpret legislation, case law, regulatory guidance and other relevant sources when preparing responses to requests and enquiries.

Lead on internal audits and act as the conduit between the auditors and executive team.

Assess, respond to and/or approve responses to incoming requests or review requests for information under Freedom of Information and from data subjects in exercise of their data subject rights or from third parties for the sharing of personal data.

Apply best practice project, programme and change management approaches ensuring compliance with governance requirements and clear communication of progress, risks and outcomes. Oversight of adequate records of such requests, maintaining audit trails and reporting ability.

Chair or lead internal project boards, ensuring effective compliance and governance, appropriate resource allocation and timely decision making in, respond to and make recommendations to General Counsel and the University Secretary where necessary.

Lead and provide senior oversight in managing the University's initial response and investigation of personal data breaches, including the maintenance of records, lessons learnt and training enhancements. Assess, respond and make any recommendations to the serious information governance information panel and to the Information Governance and Security Committee in response to the notification of personal data breaches in the University. Exercise sound professional judgement to resolve complex issues promptly and proportionality ensuring outcomes are effective, risk aware, and aligned with internal and external stakeholder interests.

To lead and manage the team and contribute to university wide projects using specialist knowledge and to lead short-term projects related to Information Governance and compliance activities. This will include specific activities and projects for the University Group which will require the postholder to carry out detailed assessment and analysis of issues and problems, using specialist knowledge to identify and recommend appropriate solutions.

To be responsible for the provision of information governance advisory services and provide support services to the university in connection with information governance queries, assisting with the carrying out of initial data protection reviews and data protection impact assessments within specific legal parameters and statutory guidance and provide expert advice and robust challenge to ensure the university initiatives include consideration of privacy and data compliance issues.

Compliance & Regulatory

The Postholder will manage specific compliance areas to ensure that the University meets legal and regulatory requirements, including (but not limited to) Corporate Risk, Internal Audit, the Companies Act, the Charities Act, Insurance claims and insurance annual reviews. Corporate Risk management. The role will also include managing compliance with the Welsh Language Standards.

General Duties

You will ensure that appropriate management systems and procedures are in place to meet your health and safety duties and responsibilities contained within the University's health and safety policy. In particular you will ensure that appropriate risk assessments are carried out in respect of significant hazards and that safety inspections are undertaken on at least an annual cycle in each workplace under your control.

It is the responsibility of employees to apply the University's Equal Opportunities Policy in their own area of responsibility and in their general conduct.

All staff have a responsibility for promoting high levels of customer care within their own areas of responsibility.

Staff must be aware of the University's commitment to Sustainability.

All staff must promote healthy behaviour and positive mental health and wellbeing

Post holders are expected to co-operate with the Professional Development Review (PDR) process, engaging in the setting of objectives in order to assist in the monitoring of performance and the development of the individual.

You will assess the training and development needs of each member of staff under your control to ensure they are adequately supported in relation to their work responsibilities.

Such other relevant duties commensurate with the grade of the post as may be assigned by the Manager in agreement with the post holder. Such agreement should not be unreasonably withheld.

The key responsibilities contained in this job description are indicative not exhaustive. Duties and responsibilities may be altered in discussion with the post holder.

All post-holders within the Directorate are expected to be able to provide support across all areas, beyond their immediate team, as requested by the Director and commensurate with their skills, knowledge and experience.

Review

This is a description of the job at the time of issue. It is the University's practice periodically to review and update job descriptions to ensure that they accurately reflect the current nature of the job and requirements of the University and to incorporate reasonable changes where required, in consultation with the job holder.

Person Specification

Prifysgol Wreccsam Wrexham University

Job Title: **Corporate Compliance Manager**

In order to be shortlisted you must demonstrate that you meet all the essential criteria and as many of the desirable criteria as possible. Where we have a large number of applications that meet all of the essential criteria, we will then use the desirable criteria to produce the shortlist.

Selection Criteria					
Attributes		Item	Relevant Criteria	Identification Method	Rank
1	Skills & Abilities	1.1	Intellectual capacity, stamina and agility to deal with a broad span of duties, to gain the respect of a wide range of people and to balance internal and external demands.	A/I	E
		1.2	The ability to analyse information relating to complex situations and communicate both verbally and in written form findings clearly and precisely.	A/I	E
		1.3	Demonstrable experience of developing, managing and sustaining effective internal and external partnerships, including working with regulators, funders, sector bodies, local and national government, and other strategic partners.	A/I	E
		1.4	Proven ability and experience of managing relationships within a complex and politically sensitive environment balancing competing priorities, institutional reputation, compliance and external expectations.	A/I	D
		1.5	High level of emotional intelligence with excellent judgement including exceptional interpersonal skills for communication at all levels including with external stakeholders and senior executive.	A/I/P	E
		1.6	Proven ability to positively lead and manage change through an organisation and have demonstrable planning and progressing work activities within broad professional legal guidelines and or/ broad organisational policy.	A/I	E

		1.7	Able to develop understanding of long-standing and complex problems and to apply professional knowledge and experience to solve them.	A/I	E
		1.8	Process mapping and improvement	A/I	E
		1.9	Able to interpret and understand complex regulatory frameworks	A/I/	E
		1.10	Balancing and prioritising tasks across a broad range of operational areas	A/I	E
		1.11	Able to deliver presentations and training to colleagues and other stakeholders on Compliance matters.	A/I	E
		1.12	Able to think outside of the box and provide solutions for more effective and efficient ways of working e.g risk/policy management software/reporting software	A/I	D
		1.13	Able to delegate effectively, understanding the strengths and weaknesses of team members to build effective teamwork.	A/I	D
		1.14	Able to formulate development plans to meet required skills.		
		1.15	Welsh language skills		
2	General & Specialist Knowledge	2.1	Undergraduate degree or equivalent experience in appropriate subject area.	A/I/C	E
3	Education & Training	3.1	Proven leadership experience in a range of demanding roles including compliance, investigations and regulatory matters.	A/I	E
		3.2	Experience of successful project management skills and able to successfully manage impactful cross function activities	A/I	D
		3.3	Able to apply an awareness of compliance principles and trends in a specialist or professional field and an awareness of how this affects activities in a large organisation/University.	A/I	E
		3.4	Experience of managing or supervising a team	A/I	E
		3.5	Track record of managing issues of regulatory / legal compliance	A/I	E

		3.6	Track record of process development and continuous improvement	A/I	D
		3.7	Using key performance indicators or similar for contract / activity management	A/I	D
		3.8	Producing accurate and concise reports for internal / external scrutiny	A/I	E
Date of Revision					

Key	Identification Method	A	Application Form
		I	Interview
		T	Test
		C	Copy of Certificates
		P	Presentation
		G	Group Assessment
	Rank	E	Essential
		D	Desirable

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