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**Job Description**

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| **Job title:** | **Risk and Compliance Manager** |
| **Department / School:** | **Office of the University Secretary** |
| **Grade:** | **Grade 8** |
| **Location:** | **University of Bath premises** |

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| **Job purpose** |
| The Risk and Compliance Manager is responsible for the development and oversight of the University’s approach to risk management and for providing assurance to management boards and governance committees of the University’s compliance with a range of statutory and regulatory requirements, including ongoing conditions of registration with the Office for Students. The post holder will be the central point of contact for all matters relating to Risk Management, providing advice, guidance, training and support across the organisation as required.The post holder is responsible for:* Leading the development and implementation of the University’s approach to risk management, including its Risk Management Policy, the establishment and articulation of institutional risk appetite with key stakeholders, calibration of the assignment of gross and net likelihood and impact assessments across the University’s business activities, and maintaining the Strategic Risk Register and Management Plan
* Mapping the three lines of defence against strategic risks as part of an assurance framework for reporting to management boards and governance committees that risks are being managed effectively.
* Providing assurance that the University remains compliant with the ongoing conditions of registration with the Office for Students, including the development and implementation of the University’s procedures for reporting reportable events.
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| **Source and nature of management provided**  |
| The Risk and Compliance Manager will report to the University Secretary and will work closely with the Chief Information Security Officer, Deputy Director Safety and Wellbeing Services, and Head of Operational Resilience and Business Continuity. |

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| **Staff management responsibility** |
| The Risk and Compliance Manager will need to work closely with departmental leads and risk owners across all of the University’s operational areas to ensure that the University has robust risk management procedures. |

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| **Special conditions**  |
| Due to the nature of the work, there may occasionally be a need to provide advice outside normal office hours. |

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| **Main duties and responsibilities**  |
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|  | **Leadership of the University’s Risk Management Approach** |
|  | * Lead the development and implementation of the University’s risk management approach, including the establishment and articulation of institutional risk appetite with stakeholders, development and review of the Risk Management Policy, and maintenance of the Strategic Risk Register and Management Plan.
* Work with senior leaders to align the Strategic Risk Register with new iterations of the University Strategy, identifying emerging strategic risks to the University.
* Lead the roll-out of the University’s risk management software, including definition of roles and responsibilities, identification of risk owners, and calibration of the assignment of gross and net likelihood and impact assessments across the University’s business activities.
* Act as key contact for our software supplier, utilising software upgrades to enhance the capture, assessment, mitigation and visualisation of the University’s strategic and operational risks.
* Work closely with the Head of Organisational Resilience and Business Continuity to identify synergies and ensure a coordinated approach to OR&BC related risks through a Common Operational Picture, and thereby avoiding duplication of effort.
* Enhance risk management capability by providing advice to risk owners, facilitating and delivering risk management training, and supporting the use of the risk management software.
* Work with executive leaders and risk owners, to ensure that decision-making is effectively underpinned by risk analysis and that any risks are mitigated in accordance with the institutional risk appetite.
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| **2** | **Development and Delivery of an Assurance Framework for Internal Control** |
|  | * Working with Internal Audit, support the process for assessing the adequacy of the design and operational effectiveness of the University’s internal control environment, supporting the risk-based approach to creating the annual programme of internal audits.
* Develop and manage an assurance framework to provide executive boards and governance committees with evidence that risks are being managed effectively, including mapping the three lines of defence against strategic risks.
* Develop new assurance reporting processes and procedures to satisfy the executive leadership team and governance committees that they, and the University, are meeting all of their statutory and regulatory obligations with respect to internal control and risk management.
* Harness the reporting functionality of the risk management software to improve the visualisation of strategic and operational risks to ensure the University executive and the governing body are sighted on, amongst others, risks that do not fall within risk appetite parameters, emerging risks, and risks where the mitigation activities are not delivered to deadlines.
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| **3** | **Compliance** |
|  | * Lead on ensuring institutional compliance with the Office for Students’ conditions of registration, including responsibility for ensuring that the correct returns are submitted in a timely manner and identifying whether there are any obstacles which might prevent a timely submission.
* Work closely with senior risk owners and compliance managers across the University to identify risk mitigation activities to ensure ongoing compliance with the Office for Students’ conditions of registration,
* Work with the executive leadership team to develop and implement processes and procedures for identifying potential reportable events, assessing events against OfS materiality criteria, authorising submission of reports of reportable events and uploading reports via the OfS portal.
* Keep informed of OfS communications and publications and lead the institutional response to new ongoing conditions of registration, including the production of briefing reports for the executive leadership team.
* Control access to the OfS portal, including assignment of rights and uploading of data returns as required.
* Network with internal compliance managers to map statutory and regulatory requirements and develop assurance reports for executive boards and governance committees.
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| **4** | **Other** |
|  | * Network externally to identify and implement best practice.
* Undertake any other duties as requested by the University Secretary commensurate with the seniority of the post.
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| You will from time to time be required to undertake other duties of a similar nature as reasonably required by your line manager. You are required to follow all University policies and procedures at all times and take account of University guidance. |

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**Person Specification**

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| **Criteria: Qualifications and Training** | **Essential** | **Desirable** |
| A first degree or equivalent qualification or significant relevant professional experience and other qualifications  | ✓ |  |
| Professional qualification from the Institute for Risk Management |  | ✓ |

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| **Criteria: Knowledge and Experience** | **Essential** | **Desirable** |
| Experience of developing and delivering organisational risk management approaches for large/complex organisations | ✓ |  |
| Experience of developing assurance frameworks to evidence the delivery of internal control processes that meet statutory and regulatory requirements | ✓ |  |
| A good understanding of the Higher Education regulatory environment and the statutory obligations of HEIs | ✓ |  |
| Knowledge of the Office for Student’s ongoing conditions of registration | ✓ |  |
| Experience of ensuring compliance statutory and regulatory requirements | ✓ |  |
| Knowledge/experience of ISO3100 | ✓ |  |
| Experience of implementing risk management software systems |  | ✓ |

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| **Criteria: Skills and Aptitudes** | **Essential** | **Desirable** |
| Excellent communication skills – bothwritten and verbal | ✓ |  |
| Highly effective influencing skillsable to motivate and develop staff to contribute to an effective internal control environment | ✓ |  |
| Confidence in making presentations to executive boards and governance committees and respond to questions posed by members | ✓ |  |
| Ability to work effectively on own initiative and with a high degree of autonomy | ✓ |  |
| Ability to work under time pressure/to tight deadlines | ✓ |  |
| Interpersonal skills of a high level including the ability to motivate others to gain the best out of them, relate to all levels of staff sensitively and appropriately, and support colleagues under pressure through a calm and professional manner   | ✓ |  |
| Willingness and ability to keep up to date in all relevant areas of risk management, including through networking with other University risk management practitioners.  | ✓ |  |
| Willingness and ability to work proactively and to develop knowledge in new areas of OfS compliance as required    | ✓ |  |
| Ability to analyse and synthesise large volumes of data, to draw conclusions and to make recommendations  | ✓ |  |
| Excellent research, planning and organisational skills.  | ✓ |  |

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| **Effective Behaviours Framework**The University has identified a set of effective behaviours which we value and have found to be consistent with high performance across the organisation. Part of the selection process for this post will be to assess whether candidates have demonstrably exhibited these behaviours previously.  |
| **Managing self and personal skills:**Willing and able to assess and apply own skills, abilities and experience. Being aware of own behaviour and how it impacts on others.   |
| **Delivering excellent service:**Providing the best quality service to all students and staff and to external customers e.g., clients, suppliers. Building genuine and open long-term relationships in order to drive up service standards.   |
| **Finding innovative solutions:**Taking a holistic view and working enthusiastically and with creativity to analyse problems and develop innovative and workable solutions. Identifying opportunities for innovation.   |
| **Embracing change:**Adjusting to unfamiliar situations, demands and changing roles. Seeing change as an opportunity and being receptive to new ideas.  |
| **Using resources:**Making effective use of available resources including people, information, networks and budgets. Being aware of the financial and commercial aspects of the University. |
| **Engaging with the big picture:**Seeing the work that you do in the context of the bigger picture e.g., in the context of what the University / other departments are striving to achieve and taking a long-term view. Communicating vision clearly and enthusiastically to inspire and motivate others.   |
| **Developing self and others:**Showing commitment to own development and supporting and encouraging others to develop their knowledge, skills and behaviours to enable them to reach their full potential for the wider benefit of the University.   |
| **Working with people:**Working co-operatively with others in order to achieve objectives. Demonstrating a commitment to diversity and applying a wider range of interpersonal skills.    |
| **Achieving results:**Planning and organising workloads to ensure that deadlines are met within resource constraints. Consistently meeting objectives and success criteria.   |