

Job Description

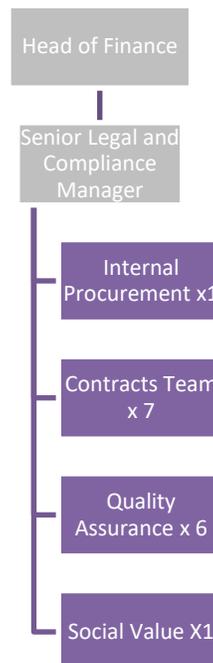


Job Title:	Senior Legal and Compliance Manager
Reports to:	Head of Finance
Grade:	SLT 1a
Date:	December 2022

1. Job Purpose

To lead and provide strategic oversight, risk and project management for YPO's compliance function with a particular focus on quality assurance, procurement compliance, data protection and general governance.

2. Organisational Structure



3. Dimensions

- The role has responsibility for 6 core functions: Internal Procurement, Procurement Compliance, Quality Assurance, Information Governance, Social Value and Governance managed across 4 teams and 15 people.

- The post holder will act as YPO's internal legal advisor, procurement specialist and joint Data Protection Officer. In those roles the post holder will provide general legal advice to YPO's Board and Senior Management, provide specialist procurement advice on complex procurement activities to Category Managers and Head of Procurement, retain overall responsibility for the delivery of internal procurements, deliver procurement training for all YPO buying teams as well as undertaking various project management activities including oversight and responsibility for the ongoing development and delivery of YPO's social value and environmental strategies and embedding new regulations.

4. Principle Accountabilities

Strategic Objectives

- Develop and oversee Contracts Team, Quality Assurance, Internal Procurement, Social Value and Data Protection (the "**Compliance Function**") strategies in conjunction and with the Senior Leadership Team, Strategic Procurement Managers and YPO Board objectives Ensure that the Compliance Function delivers agreed targets and service standards, on time and within budget.
- Ensure that effective systems are in place to manage, develop, monitor, evaluate and review performance within the Compliance Function ensuring that processes and systems integrate effectively with other functions as needed
- In close collaboration with Commercial colleagues, develop category strategies and policies linked to business requirements and overall company strategy
- To keep up to date with information, training and development opportunities appropriate to maintaining and developing professional service standards
- Prepare and arrange for the ongoing delivery of training for YPO staff in relation to compliance function areas
- Provide guidance and represent YPO in meeting as a member of the wider Yorkshire Strategic Procurement Group
- Liaise with other public sector departments and colleagues to ensure that YPO continues to be involved in the emerging public agenda on procurement
- Support the business to ensure that YPO adopts best practice in customer focus and performance delivery.
- To provide professional and technical advice relating to contracting, compliance and legal issues
- To lead and undertake work on special projects, policy priorities, plans and programmes as required by the Head of Finance
- Ensure that services are delivered in line with relevant legislation, YPO objectives and policies including those relating to Equality and Diversity, Customer Care and Health and Safety
- To work co-operatively with colleagues to ensure that the Compliance Function operates consistently and effectively in the implementation and application of all departmental procedures and policies

- Effectively manage resource conflicts, policy enforcement, and other critical issues arising from Compliance Function initiatives and where needed mediate complex and conflicting issues involving multiple stakeholders where required
- Undertake such other duties as may be required from time to time that reasonably fall within the scope and grade of the post

Internal Advisory Service

- Provide advice and guidance to YPOs Board and SLT in relation to the application of its governing documentation for the planning and delivery of YPO strategic obligations
- Provide wider, general legal support on contractual issues, property matters, employment matters, corporate law and other legal matters at the request of the YPO Board
- Maintain and update YPOs Contracts Standing Orders and other governance documentation as assigned from time to time
- Manage and report the risks associated with the compliance function and identify the key performance indicators that can be used as risk triggers.

Procurement Compliance

- Ensure YPO is compliant with Public Sector Procurement Legislation and YPO's Standing Orders and that contract arrangements reflect YPO requirements in terms of performance, remedies and liabilities
- Establish and manage an approach to contracting that links into the commercial departments' product and brand management needs
- Ensure that supplier agreements are in place, logged in a central database and compliant with UK procurement rules
- Establish and manage supplier standards including appropriate systems to ensure compliance and continuous development of service levels
- To develop and maintain a business partner approach to working with procurement teams, providing advice, guidance, and support to all contracting activities
- Ensure YPO understands the levels of risk associated with each contract and that processes are appropriate to risk level
- Encourage and support the realisation of commercial outcomes via tendering activity, including engagement with the supply base to ensure understanding of processes and requirements

Information Governance

- Act as the dual nominated statutory Data Protection Officer for YPO in providing statutory and appropriate notifications to the ICO and investigation of internal data breaches
- Work closely with all teams to drive data protection conformity and efficiency across the business
- Ensure that YPO meets a high level of compliance with data protection law and in embedding a culture of data protection and information security throughout the business
- Advise on all data protection issues including the assessment and mitigation of risk, giving advice and guidance to staff and external partners and providers where appropriate

- Establish useful guidance and procedures around records management best practice, to assist staff in managing information day-to-day in order to facilitate information access, use and reuse where appropriate, as well as timely deletion of information when it is no longer required
- Provide support and guidance on the UK General Data Protection Regulations (GDPR), Data Protection Act (DPA) 2018, Freedom of Information Act 2000, Environmental Information Regulations (EIR) and Records Management
- Develop and maintain records management policies
- Lead the development of YPO's information governance arrangements to support YPO's response to information legislation and to deliver best practice business benefits.
- Develop and manage YPO's GDPR strategy and information governance framework
- Ensure all employees are informed and advise all employees about their obligations to comply with the UK GDPR and other data protection laws
- Raise awareness of data protection issues, training staff and conducting internal audits
- Advise on, and monitor, data protection impact assessments
- Manage and keep appropriate records relating to Data Protection and FOIs
- Report to SLT and Board relating to Data Protection performance, issues, and FOI
- To develop strategies and systems and give advice to staff and external partners and providers where appropriate in respect of requests for information under the Freedom of Information Act 2000 (the Act) and the Environmental Information Regulations 2004 (the Regulations) particularly in respect of the lawful use of exemptions under the Act and exceptions under the Regulations

Quality Assurance

- Provide guidance on and oversee the development and implementation of appropriate policies and procedures to manage quality impact on the customer, mitigate product liability and quality risks
- Oversee management of the Quality Team to ensure successful outcomes are achieved which includes effective customer and supplier engagement
- Ensure YPO achieves/maintains its relevant ISO certifications
- Ensure the implementation of robust quality assurance processes that put the customer at the heart of all interactions
- Oversee development and management of a supplier improvement program (including ethical audit and competence) for all YPO's vendors and sub-contractors and ensure accurate records are maintained
- To keep up to date with quality assurance and compliance legislation and alert colleagues to potential impact on the business to ensure timely action.
- Champion Quality and a Quality culture within the business and provide proactive input to all departments on Quality related issues

Internal Procurement

- Develop and maintain internal procurement processes to ensure delivery of PCR and internal compliance
- Champion and promote the delivery of procurement innovation to drive optimization and efficiencies from wider internal procurement activity and share successful outputs with external facing Education and Public Sector Teams

- Provide guidance and training on contract management techniques for departmental heads and other colleagues with responsibility and ownership of internal contracts
- Oversee the delivery of cost efficiencies against departmental budgets via the delivery of competitive and transparent procurement practices
- Provide contract review and monitoring of internal contracts on behalf of all internal functions including Business Development, Customer Services, Finance, Fleet, HR, IT, Marketing, Supply Chain Warehousing.
- Report to SLT and Board on risks and opportunities presented by YPOs internal contracts portfolio and maintain a register of operational and contractual risks associated with YPO's contracting profile.

Social Value

- Oversee the development and ongoing delivery and future revision of YPOs Social Value Strategy
- Develop and oversee YPO Social Value core activity streams including the development and delivery of objectives and measurement of performance
- Develop and oversee YPOs net zero strategy in line with YPO member authorities own targets and develop quarterly reporting on performance against agreed strategic objectives
- Champion and support environmental innovation and investment opportunities and ideas to help meet carbon reduction targets
- Oversee the provision of training for YPO staff to help deliver social value objectives
- Engage with external organisations on the potential to collaborate and share expertise and experience in relation to the delivery of social value activities.

5. Planning and Organising

Policies and procedures within scope of the Compliance Function will be reviewed on an annual basis, with plans and the Compliance Function strategy in place for 3-5 years in line with the wider YPO business strategy.

The role will be split between the risk assurance and compliance regulatory requirements and developing new ways of doing things within the organisation to ensure best practice and optimum customer outcomes.

This role will require a high level of organisation to meet a number of key statutory and internal deadlines.

The role will require the management of multiple projects to critical deadlines ensuring that YPO is at a minimum risk of legal challenge, loss of business and reputational damage.

6. Decision Making

- To ensure effective application of all policies and procedures in relation to the Compliance Function in line with relevant legislation.
- To approve contracts in line with YPO's Standing Orders
- Provide decisions and advice in relation to all data protection matters
- To approve tender documents for compliance to Public Procurement Regulations.
- To advise the organisation on levels of liability in relation to any procurement contract.

- To seek external legal support where necessary
- To have autonomy within the agreed business plan objectives.
- Escalate Strategic Plan impacts to the Head of Finance and Board.

7. Internal and External Relationships

Internal:

- Directors
- Senior Leadership Team
- Contracts Team
- Quality Assurance Team
- Internal Procurement Function
- Social Value Manager
- Public Sector Team
- Education Team
- All Budget holders

External:

- YPO Members
- Yorkshire Strategic Procurement Group
- Suppliers
- Public Sector Buying Organisations
- Customers
- Customer Legal teams.
- Government departments
- Public Bodies
- Legal partners

8. Knowledge, Skills and Experience

Area	Essential	Desirable	Assessment
Knowledge			
Qualified to degree level in a legal related subject area with high achievement demonstrated. Or equivalent levels of experience.	X		Application
Expert practical and theoretical knowledge of terms and conditions of contracts. To include suitability, assessments of liability, application. Gained through extensive experience of working with contract terms as well as any qualifications.	X		Application / interview / assessment
Evidence of continuing professional development in relevant subject areas.	X		Application

Excellent understanding of public sector procurement regulations and their application	X		Application / interview / assessment
Understanding of contract management techniques	X		Application / interview
Understanding of risk management	X		Interview
Detailed knowledge of all aspects of commercial law		X	Interview / assessment
Understanding of procurement within a trading environment	X		Application / interview / assessment
Understanding of government environmental targets and methods adopted to achieve net zero		X	Interview
Member of Chartered Institute of Purchasing and Supply (CIPS) or appropriate professional institute.	X		Application
Project management qualification		X	Application
Understanding of the application of social value in the delivery of public contracts		X	Interview
Skills			
Ability to review and interpret legislation to determine its application within the organisation.	X		Interview / assessment
Excellent leadership skills, with open and encouraging management style	X		Interview
Excellent influencing skills	X		Interview
Excellent time management skills	X		Interview
Commercial acumen	X		Application / interview
Must have a keen attention to detail and be well organised.	X		Interview / assessment
An advanced ability to anticipate problems and develop appropriate solutions.	X		Interview
Tenacious positive “can do” attitude	X		Interview

Excellent communication skills	X		Application / interview / assessment
Ability to build, work and maintain effective relationships with key stakeholders.	X		Interview
Well-developed leadership skills, which foster a positive and motivated organisational culture		X	Interview
Ability to develop and implement effective processes and systems for supplier performance management and measurement		X	Interview
Proficient with Microsoft Word and Excel		X	Application
Experience			
Experience of engaging with Board and Senior Management, providing an advisory service on Legal and Compliance issues.	x		
Experience of providing recommendations to Board and Senior Management upon which business decisions can be made. This includes being able to constructively challenge business proposals where required.	x		
Evidence of high level performance whilst working in a role responsible for writing and reviewing terms and conditions of contract.	X		Application / interview / assessment
Experience of working with or providing advice in relation to data protection matters.	X		Application
Experience in Quality Management Systems and procedures as well as compliance	X		Application
Experience of policy development and delivery	X		Interview
Successful management and development of staff to harness the strengths and talents of Colleagues at all levels.	X		Interview
Proven ability to build effective teams and relationships, which are not limited by service area boundaries or hierarchies.	X		Interview
Demonstrable achievement and understanding of equality and diversity in employment and service delivery within a comparable organisation.	X		Interview

Experience of public sector procurement in a procurement or legal role.	X		Application
Experience of working with contract management processes and following up on outcomes		X	Application / interview / assessment

9. Special Features

Jobholder Signature:

Manager Signature:

Date: