



### Head of Compliance

**Directorate:** Support Services

**Location:** WWT Slimbridge (or other WWT location or possibly home-based)

**Reporting to:** Director of Finance & Support Services

**Grade:** 11

**Main function of post:** To ensure WWT complies with key external regulations and internal policies to reduce risk of financial losses, reputational damage and reduction in support. To facilitate mitigation of strategic and significant operational risk at executive and trustee level.

**Supervisory responsibilities:** Volunteers

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### Responsibilities of the post

1. Be the organisation's expert in key areas of statutory requirements, including but not limited to: charity Gift Aid, General Data Protection Regulation (GDPR), Payment Card Industry (PCI), anti-money laundering and anti-bribery.
2. Ensure compliance with these areas of regulation through collaboration with colleagues, supporting and challenging them to enable understanding and fulfilment of requirements.
3. Develop an internal audit plan and carry it out to ensure compliance with internal financial controls across WWT, to protect against financial loss to the charity and its trading subsidiaries.
4. Be the owner of the organisational Risk Register and enable WWT to focus on the key organisational risks and provide constructive input into actions to mitigate those risks, leading to reduced risk.
5. Report to Management Board and the Finance, Audit and Risk Committee on these areas of compliance, internal audit and risk.
6. To provide leadership to all volunteers within the team enabling every team member's contribution to be maximised by ensuring that the appropriate levels of direction and support are provided through professional line management in line with WWT's people frameworks.
7. To define and establish appropriate functional frameworks within which colleagues across WWT need to operate (eg. re GDPR and Gift Aid) and where teams have freedom to manage and develop their own initiatives, clarifying the role of both site-based and central teams and ensuring that both work collaboratively together as one organisation.
8. To provide or support training to colleagues and volunteers on areas of compliance.
9. To be responsible for working within the WWT health and safety policy and guidelines ensuring that the health, safety and wellbeing of yourself and others is an integral part of how you work.

10. To be responsible for engaging with the WWT Sustainability Statement, being aware of negative environmental impacts and incorporating sustainable ways of working within your role.
11. To interact with our visitors and supporters in a positive way, shaping unforgettable experiences and helping them understand and connect to wetlands.

In addition to the duties and responsibilities listed, the post holder is required to perform any other reasonable duties that may be assigned by the supervisor shown above, from time to time.

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**Date raised: September 2020**

**Amended:**

# Person Specification

## 1. Qualifications

**Essential:**

- Fully qualified in a professional accounting qualification (ACA/CIMA/ACCA/CIPFA) or equivalent internal audit qualification

## 2. Experience

**Essential:**

- Significant experience of managing an audit or compliance function for a medium to large organisation
- Extensive experience of planning and completing reviews/audits of policies and procedures
- Experience of influencing colleagues at all levels to change ways of working and performance
- Experience of working on own initiative, setting agendas and influencing change

**Desirable:**

- In-depth knowledge of GDPR and its application in a charity
- In-depth knowledge and experience of Gift Aid policy and application, including HMRC Gift Aid audits
- Experience of the charity sector, especially of charities with complex operating models and diverse income streams
- Knowledge of charity law and regulations as they apply to fundraising
- Experience of retail and catering organisations

## 3. Managerial & Supervisory

**Desirable:**

- Experience of supervising volunteers (or managing staff)

Type of team member	Number managed (No. of direct reports)	Number supervised
Employed staff	0	0
Volunteers	0	1
Casual Workers	0	0

## 4. Responsibility

### **Essential:**

- Responsible for WWT's compliance with GDPR requirements protecting supporters' and others' personal data.
- Responsible for WWT's compliance with Gift Aid regulations and thereby protecting £2m of claims income per annum.
- Responsible (with others) for good financial controls being followed across WWT

### **Levels of Responsibility:**

Type of Responsibility	Level (£'s)
Budget Responsibility	£60k
Income (in collaboration with others)	£2m

## 5. Creative Ability

### **Essential:**

- Ability to prioritise work that brings the greatest benefit to the work of WWT
- Able to work alone to create plans and implement them, in collaboration with others
- Ability to provide solutions to problems and to be constructive in approach
- Able to build positive working relationships with colleagues even when auditing or challenging them
- Ability to think strategically about risk management and to focus on most important areas
- Ability to deliver work to time even while working in collaboration

## 6. Contact

### **Essential:**

- Proven people influencing skills to negotiate and persuade staff from across the charity, including senior managers and directors.
- The confidence and ability to deal professionally with outside agencies e.g. external auditors, Information Commissioner's Office (ICO) and HMRC.
- The ability to provide explanations to staff at all levels on basic, and more complex, subjects, clearly communicating at a level appropriate to the audience and focusing on the key messages that need to be conveyed.
- The ability to communicate effectively in formal written reports, informal internal documents (such as on WWT's intranet), in formal presentations and in informal verbal situations.
- The ability to successfully influence change when new systems/procedures are introduced.
- The ability, when required, to effectively enforce rules and procedures in a supportive manner.

## General Notes

Whilst this post is ideally based at WWT Slimbridge Wetland Centre, where Central teams that you would be working closely with are based, other locations would be considered. A willingness to travel to other WWT Wetland Centres is essential.