

## ROLE PROFILE

<b>Job Title:</b>	<b>Enforcement Officer</b>	<b>Reports to:</b>	<b>Policy and Regulations Manager</b>
<b>Based at:</b>	Holly Walk, Leamington Spa	<b>Date:</b>	<b>January 2017</b>
<b>Hours</b>	09:00 – 17:00 - Monday to Friday		

<b>Job Purpose</b>	
<p>The purpose of the role is to:</p> <ul style="list-style-type: none"> <li>• Ensure that ENTRUST undertakes enforcement action in accordance with the Landfill Tax Regulations 1996 (Regulations) in a proportionate and consistent manner, which complies with best regulatory practice as directed by the Policy and Regulations Manager;</li> <li>• Support ENTRUST's Quality Assurance work, by undertaking quality assurance reviews of ENTRUST in order to promote compliance with the Regulations; and</li> <li>• Provide cover across the Compliance Team by undertaking compliance reviews as and when necessary.</li> </ul>	
<b>Key Results Areas</b>	<b>Typical Tasks</b>
<b>Implementing the Form 4 Strategy</b>	<ul style="list-style-type: none"> <li>• Implementing and monitoring the delivery of the Form 4 return strategy each year;</li> <li>• Carrying out proportionate enforcement action against EBs who have returned Late Form 4s; and</li> <li>• Maintaining and updating the “frozen” list of EBs which have failed to return a Form 4.</li> </ul>
<b>Implementing monthly processes to check for breaches</b>	<ul style="list-style-type: none"> <li>• Carrying out proportionate enforcement action against EBs who have: <ul style="list-style-type: none"> <li>○ Submitted late, or failed to submit Form 3s;</li> <li>○ Submitted late, or failed to submit Form 7s;</li> <li>○ Submitted late, or failed to submit levy payments; and</li> <li>○ Reported spend outside the prescribed period.</li> </ul> </li> </ul>
<b>Following up issues of non-compliance where the Regulations have been breached</b>	<ul style="list-style-type: none"> <li>• Maintaining the ENTRUST intelligence database;</li> <li>• Working with the Compliance Manager to ensure sufficient information is gathered during the inspection process to allow enforcement action can be taken;</li> <li>• Working on cases with the Compliance Manager and the Policy and Regulations Manager to ensure proportionate enforcement action is taken;</li> <li>• Ensuring issues of non-compliance are followed up and dealt with in an appropriate and timely manner; and</li> <li>• Taking timely enforcement action in accordance with the agreed Managing Breaches procedures.</li> </ul>
<b>Updating enforcement procedures to ensure that they remain fit for purpose and in line with best practice</b>	<ul style="list-style-type: none"> <li>• Bringing forward proposals to amend the procedures in the light of experience; and</li> <li>• Reviewing the procedures in the quality manual in accordance with agreed timescales.</li> </ul>
<b>Minimising Non-Compliance</b>	<ul style="list-style-type: none"> <li>• Proactively providing information and advice to EBs on their regulatory requirements to ensure that non-compliance is minimised;</li> <li>• Responding to requests for advice on how regulatory requirements can and should be met pertaining to compliance issues;</li> <li>• Responding to requests for advice on matters of best practice associated to compliance reviews liaising with the Regulations team as required; and</li> </ul>

	<ul style="list-style-type: none"> <li>• Providing input into revisions and releases of formal ENTRUST literature which advise EBs of their obligations which complies with the principles of Better Regulation.</li> </ul>
<b>Internal Liaison</b>	<ul style="list-style-type: none"> <li>• Ensuring close liaison with all ENTRUST staff to ensure that the Company and its regulatory functions are maintained to the highest standard;</li> <li>• Liaising closely with the Policy and Regulations Team, as appropriate on enforcement issues; and</li> <li>• Providing specific advice to colleagues, as agreed with the Compliance Manager/ Policy and Regulations Manager.</li> </ul>
<b>Quality Assurance</b>	<ul style="list-style-type: none"> <li>• As directed by the Audit Committee undertaking quality assurance reviews of the business;</li> <li>• Working with colleagues to maintain standards, systems and procedures across the organisation;</li> <li>• Identifying potential quality failures and establish appropriate corrective actions;</li> <li>• Ensuring that activities comply with quality procedures and processes and standards by conducting a programme of reviews; and</li> <li>• Identifying service improvement options.</li> </ul>
<b>Delivery of Corporate Objectives</b>	<ul style="list-style-type: none"> <li>• Acting as a ambassador for the Company;</li> <li>• Supporting corporate objectives and the Compliance Manager in order to deliver ENTRUST's objectives;</li> <li>• Liaising closely with the Compliance Manager, ensuring agreed performance targets are met;</li> <li>• Providing assistance to the Compliance Manager as and when required;</li> <li>• Undertaking compliance inspections as and when required;</li> <li>• Attending Compliance Meetings and other Company events as required; and</li> <li>• Undertaking additional activities from time to time, as defined by the Compliance Manager.</li> </ul>
<b>Person Specification</b>	
<p><b>Knowledge, Skills &amp; Experience:</b></p> <ul style="list-style-type: none"> <li>• Qualified, or working towards the attainment of a recognised professional accountancy, or audit qualification;</li> <li>• Numerate;</li> <li>• Report writing skills;</li> <li>• Excellent time management skills;</li> <li>• Ability to multi-task;</li> <li>• Effective communication skills;</li> <li>• Computer literate;</li> <li>• Experience of and proven capability for working in a regulatory/investigation based environment; and</li> <li>• Previous audit experience.</li> </ul>	<p><b>Personal Attributes:</b></p> <ul style="list-style-type: none"> <li>• Attention to detail;</li> <li>• Ability to make decisions;</li> <li>• Self-confidence;</li> <li>• Self-starter;</li> <li>• Self-motivated; and</li> <li>• Ability to plan and prioritise work-load with minimum level of supervision.</li> </ul>
<b>Special Features</b>	
<p><b>Desirable, but not essential:</b></p> <ul style="list-style-type: none"> <li>• Knowledge of the Landfill Tax Regulations (1996); and</li> <li>• Interest in the environment and community projects.</li> </ul>	