open awards

Changing lives through learning

Compliance and Investigations Officer

Job Vacancy Information Pack

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Introduction

Thank you for your interest in working at Open Awards.

This pack should give you everything you need to know to apply for this role and what it means to work at Open Awards.

In this pack, you will find:

- Our Values
- How to Apply
- Information about Open Awards
- Job Description
- Person Specification

If you would like an informal conversation about this vacancy, you can contact Richard Spencer on richard.spencer@openawards.org.uk

How to Apply

To apply for this role, please complete the application form together with a supporting statement outlining how you meet the criteria for the post (max two sides A4).

Completed forms should be returned to:

Richard Spencer
Open
Awards
Estuary Commerce
Park, 17 De Havilland
Drive Speke
Liverpool

Email application to:
richard.spencer@openawards.org.uk

The **closing date** for applications for the post is **12:00 on Friday 16th October 2026.**

Mission, Vision and Values



At Open Awards, our **learners' aspirations** are at the heart of what we do.

As a not-for-profit organisation and a registered charity, we are passionate about our mission to **change lives through learning**.

This manifests in our flexibility and creativity when it comes to working with our providers and learners. We know our providers want to support their learners to **achieve the very best outcomes** and, as a small team, we pride ourselves on having the **flexibility, knowledge** and **passion** to react quickly and intelligently to individual **learners'** and **employers' needs.**

Open Awards seeks to:

- improve education and training opportunities for learners;
- ensure flexibility of learning opportunities;
- provide progression opportunities; and
- provide and enhance equality of opportunity in all aspects of the learning environment.

Who are Open Awards?

We are an Awarding Organisation approved by Ofqual and an Access Validating Agency approved by the Quality Assurance Agency for Higher Education (QAA). We provide Ofqual regulated qualifications and units across a range of sectors, QAA Access to Higher Education Diplomas and also offer bespoke quality endorsed units and flexible learning solutions. Open Awards is also a regulated Apprenticeship Assessment Organisation for a wide range of apprenticeship Standards.

Our qualifications, units, and online courses are used across a range of education settings including Further Education Colleges, schools, sixth-form colleges, prisons, private training providers and third sector organisations.

Open Awards Services

Open Awards offers a high-quality accreditation and certification service for education and training. We are committed to offering:

- Value for money, including reasonable recognition and certification charges and a not-for-profit ethos.
- Contact with knowledgeable and responsive staff, who have curriculum expertise and offer detailed professional support.
- Access to a network of education and training organisations.
- An efficient administrative and certification service, with clear service standards.
- A commitment to promoting wider access to learning, equality of opportunity and recognition of achievement.
- Access to a comprehensive range of services, support workshops and training.

In particular Open Awards offers access to:

- Full advice and support for Open Awards accreditation, units and qualifications.
- A bank of approved units of achievement and qualifications.
- Staff development activities and curriculum forums to support networking, good practice and collaboration, and a range of specific training activities.

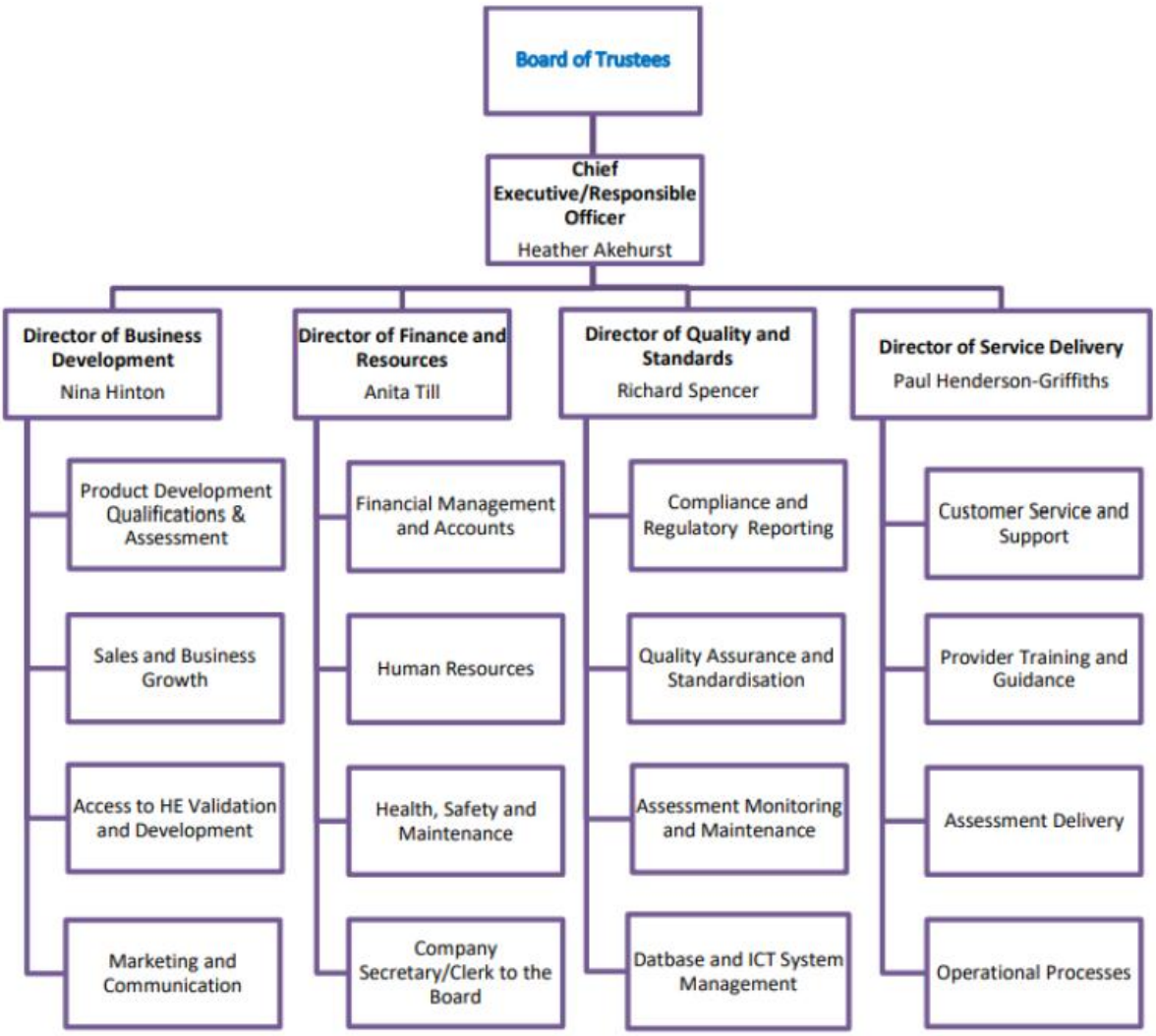
What We Offer You

- Flexible working
- Contributory Pension Scheme
- Hybrid working for office based posts
- Counselling Helpline
- Commitment to Disability Confident
- Health and Wellbeing groups
- Generous holiday and sick leave provisions
- A great team of people to work with

Meeting the Team

The role you are applying for is based within the Quality and Standards team.

We are a small organisation and encourage all teams to work together across the wider structure. As such you will be working, on a daily basis, with a wide range of colleagues across the team structure.



Equality and Diversity

Open Awards is committed to making the recruitment process as fair as it can be. We want our workforce to reflect the diverse customer and learner base we support and we continue to work to create an inclusive culture where everyone is valued for who they are and the contribution they make to our mission and vision.

Every possible step will be taken to ensure that individuals are treated equally and fairly and that decisions on recruitment, selection, training, promotion and redeployment are based solely on objective, non-discriminatory criteria. In accordance with current legislation and codes of practice we aim to ensure that no employee or prospective employee will be treated unfavourably on the grounds of marital status, gender, age, disability, sexual orientation, race, nationality, ethnic or national origins, trade union membership or activity, political or religious belief and unrelated criminal conviction.

We are a disability confident employer; if you have a disability and your application meets the minimum criteria for the post, we guarantee you will be interviewed.



Safeguarding Statement

Open Awards is committed to our responsibilities for safeguarding and promoting the welfare of children, young people and vulnerable adults and expects all employees, independent workers, and volunteers to share this commitment.

We are committed to recruiting candidates who share this commitment to safeguarding, and therefore we apply robust recruitment and selection procedures to ensure that the people selected are right for the job, and that all candidates are appropriately screened prior to appointment.

The following pre-employment checks will be undertaken as applicable to the role:

- References
- DBS check
- Overseas criminal records check
- Identity check
- Right to work in the UK
- Evidence of qualifications applicable to the role

You will need to provide details of referees including your current and previous employers, covering the last 5 years. These will not be contacted prior to interview.

All job offers will be subject to the satisfactory completion of pre-employment checks.

Please note that providing false information is an offence and could result in your application being rejected or your dismissal from employment if you are appointed. The matter may also be referred to the police.

Job Description

TITLE OF POST:	**Compliance and Investigations Officer**
RESPONSIBLE TO:	**Head of Quality and Standards**
SALARY:	**£30,660**
STATUS:	**Full-Time, Permanent**

PURPOSE OF THE POST

The postholder will review applications for reasonable adjustments and investigate errors, incidents and other matters which may affect learners, assessment delivery, qualification outcomes or regulatory compliance. The role will ensure that decisions are fair, evidence-based, timely, clearly recorded and made in line with Open Awards policies and regulatory requirements.

FUNCTIONS OF THE POST:

- To review, assess and make recommendations or decisions on applications for reasonable adjustments in line with Open Awards policies, regulatory requirements and equality duties.
- To ensure reasonable adjustment decisions maintain the validity, reliability and integrity of assessments while supporting fair access for learners.
- To investigate errors, allegations of maladministration, malpractice, assessment irregularities and other incidents affecting assessment delivery or learner outcomes.
- To produce clear investigation records, findings and recommendations, including corrective and preventative actions where required.
- To identify trends and risks to propose and implement effective improvements.

MAIN DUTIES AND RESPONSIBILITIES

Reasonable Adjustments

1. Co-ordinate and review applications for reasonable adjustments
    - Manage reasonable adjustment applications and related queries, ensuring responses are made within agreed service standards.
    - Review evidence submitted by providers and assess whether it is appropriate, current and sufficient to support each request.
    - Make fair, consistent and evidence-based decisions, escalating complex or high-risk cases where required.
    - Ensure approved adjustments are proportionate, practicable and do not compromise assessment standards, validity or reliability.

- Communicate decisions clearly to providers, including any conditions, alternatives or reasons where requests are declined.

2. Ensure reasonable adjustment processes are delivered through efficient and compliant procedures
    - Develop, comply with and regularly review internal processes and guidance for reasonable adjustment applications, ensuring alignment with regulatory requirements and relevant Open Awards policies and procedures.
    - Maintain accurate records of applications, decisions, evidence and correspondence,
    - Support providers and colleagues to understand evidence requirements, timelines and good practice.
    - Identify opportunities to improve accessibility, consistency and the customer experience in the delivery, assessment and award of Open Awards products and services.

Investigations

3. Undertake short notice reviews of providers:
    - Undertake risk-based short notice reviews of approved providers in accordance with the Open Awards CASS Strategy and short notice review procedures
    - Contribute to the ongoing review and development of short notice review procedures, guidance, templates and training materials to ensure continued regulatory compliance and consistency of practice.

4. Investigate reported or suspected errors and assessment incidents:
    - Review provider errors, allegations of maladministration and malpractice, assessment irregularities or breaches of Open Awards requirements.
    - Review applications for special considerations in line with Open Awards policy and processes
    - Gather and evaluate evidence from providers, learners, internal systems, assessment records and relevant colleagues.
    - Request written statements or further information from providers and other stakeholders as required.
    - Maintain impartiality, confidentiality and accurate audit trails throughout the investigation process.
    - Escalate serious, complex or regulatory-risk matters in line with internal procedures.

5. Produce investigation outcomes and support effective resolution:
    - Prepare clear investigation reports setting out the issue, evidence reviewed, findings, conclusions and recommended actions.

- Recommend proportionate corrective and preventative actions to protect learners and maintain qualification standards.
- Support decisions relating to assessment validity, learner results, certification, provider actions or sanctions where required
- Track agreed actions through to completion and ensure records are updated accurately.
- Identify recurring issues and contribute to improvements in provider guidance, training, monitoring and quality assurance.

Compliance, Data and Reporting

6. Monitor, collate, analyse and report on activity relating to reasonable adjustments and investigations, including:
    - Volumes, themes and timeliness of reasonable adjustment applications.
    - Error, incident and investigation trends.
    - In conjunction with colleagues, the effectiveness of actions and mitigations placed following investigations.
    - Risks to learners, assessment delivery, standards or regulatory compliance.
    - Recommendations for improvements to processes, guidance, systems or provider support.

7. Ensure data relating to reasonable adjustments and investigations is complete, accurate and maintained in accordance with Open Awards policies:
    - Maintain accurate records in Open Awards systems, including Quartz and other relevant platforms.
    - Undertake regular monitoring and audit activity to check data accuracy and completeness.
    - Provide reports and information to support internal quality assurance, standardisation, regulatory activity and continuous improvement.
    - Handle sensitive personal data in accordance with data protection requirements.

Guidance and Training

8. Ensure published guidance and internal procedures relating to short notice reviews, reasonable adjustments, errors and investigations remain accurate, current and compliant with regulatory requirements, including operational guidance, templates and training materials for providers and colleagues.

9. Work collaboratively with teams across Open Awards to ensure that reasonable adjustment and investigation processes are understood and applied consistently.

GENERAL RESPONSIBILITIES

10. Provide support to colleagues as required to ensure organisational priorities are achieved.

11. Manage own workload effectively to meet agreed service standards and deadlines.
12. Maintain accurate records of activities in Open Awards systems in accordance with organisational policies and procedures.

13. Work collaboratively with colleagues across Open Awards to support assessment delivery activities.

14. Travel to and work from any site that the duties of the role may reasonably require

15. Undertake any other duties commensurate with the grade of the post as required by the Management Team.

16. Support the organisation's commitment to equality, diversity and inclusion and promote non-discriminatory practices in all aspects of work undertaken.

17. Ensure all work is carried out in accordance with statutory requirements, Open Awards policies and procedures, health and safety legislation, and the Mission, Vision and Values of Open Awards.

This job description is not intended to be either prescriptive or exhaustive; it is issued as a framework to outline the main areas of responsibility at the time of writing.

Job Description reviewed – June 2026

Person Specification

Criteria	Knowledge and Skills	Essential/ desirable criteria
Qualifications and Training	1. Level 3 Qualification or above 2. Level 2 English qualification 3. Level 2 maths qualification	Desirable Essential Essential
Experience	4. Similar role in education, awarding, assessment, quality assurance, compliance or regulation. 5. Reviewing evidence and making fair, defensible decisions. 6. Reasonable adjustments, access arrangements or learner support processes. 7. Investigating errors, complaints, incidents, malpractice or maladministration allegations. 8. Maintaining accurate data and records. 9. Understanding of assessment and quality assurance. 10. Interpreting and applying regulatory requirements.	Essential Essential Essential Essential Essential Desirable Essential
Skills/Abilities	11. Manage a varied caseload and meet service standards. 12. Interpret policies, procedures and regulatory requirements. 13. Analyse complex or sensitive evidence. 14. Produce clear decisions, reports and audit records. 15. Communicate complex information professionally. 16. Handle sensitive or confidential matters with discretion. 17. Identify risks, trends and practical solutions. 18. Strong verbal and written communication skills. 19. Work well in a team and build strong relationships. 20. Keen eye for detail and accuracy. 21. IT literate using Microsoft Office and Outlook	Essential Essential Essential Essential Essential Essential Essential Essential Essential Essential Essential Essential
Commitment	22. A commitment to Equality & Diversity. 23. An understanding of and a personal commitment to the Mission, Vision and Values of Open Awards. 24. Commitment to Customer Service.	Essential Essential Essential
Other	25. Be adaptable, flexible and open to change. 26. Willingness to travel. 27. Willing to undertake staff development activities.	Essential Essential Essential