

COMPLIANCE MANAGER - ROLES AND RESPONSIBILITIES

Reporting to – Operations Manager

Role overview

The Compliance Manager at Spark Tech MEP Ltd. plays a critical role in ensuring that the company's operations, including Mechanical, Electrical, and Plumbing (MEP) projects, adhere to relevant legal, regulatory, and industry standards. This role involves overseeing the development, implementation, and monitoring of compliance programs, policies, and procedures to ensure that Spark Tech MEP Ltd. operates within the boundaries of the law, promotes ethical behaviour, and mitigates legal risks.

Key responsibilities

1. Compliance Program Development and Management

- **Develop Compliance Framework:** Establish and maintain a comprehensive compliance program that aligns with industry regulations, company policies, and applicable legal requirements for MEP projects and operations.
- **Policy Creation and Updates:** Draft, implement, and regularly update company policies and procedures related to compliance, including safety regulations, environmental standards, and financial reporting.
- **Ensure Regulatory Compliance:** Monitor and ensure that Spark Tech MEP Ltd. meets all legal and regulatory requirements at local, regional, and national levels related to construction, MEP works, health and safety, and environmental standards.

2. Regulatory Monitoring and Risk Management

- **Stay Updated on Regulations:** Continuously monitor changes in regulations, laws, and industry standards that affect MEP projects, including health and safety, environmental laws, building codes, and labour laws.
- **Assess Legal and Regulatory Risks:** Identify potential risks related to non-compliance and evaluate the impact of any changes in regulations on the company's operations, particularly in MEP construction projects.
- **Risk Mitigation:** Develop strategies to mitigate compliance-related risks and ensure that proper measures are in place to address any non-compliance issues effectively.

3. Internal Audits and Compliance Monitoring

- **Conduct Internal Audits:** Regularly conduct internal audits to assess compliance with the established policies and procedures. This includes auditing MEP projects, construction activities, procurement processes, and financial transactions.
- **Monitor Compliance Performance:** Continuously monitor the adherence to compliance policies and procedures across all company departments, ensuring that the MEP teams are following the correct practices and regulations.
- **Audit Reporting:** Prepare detailed audit reports and present them to senior management, identifying any compliance issues, areas of concern, and recommending corrective actions.

4. Training and Awareness

- **Compliance Training:** Develop and deliver compliance training programs to employees at all levels, particularly focusing on legal and regulatory requirements specific to MEP

operations. Ensure that employees are well-versed in company policies, ethical practices, and legal compliance.

- **Employee Awareness Programs:** Raise awareness of compliance issues through regular communication, workshops, and seminars to ensure that employees understand the importance of compliance in their daily work activities.
- **Specialised Training for MEP Teams:** Provide specialised compliance training to project managers, engineers, and construction teams on MEP-specific regulations, such as electrical codes, Building Regulations, and environmental standards.

5. Contract Management and Supplier Compliance

- **Contractual Compliance:** Ensure that all contracts with subcontractors, suppliers, and clients comply with legal and regulatory requirements. Review and approve contracts for MEP projects to ensure they include the necessary clauses regarding compliance.
- **Supplier and Subcontractor Monitoring:** Assess and ensure that suppliers and subcontractors are in compliance with relevant industry standards, regulations, and the company's internal compliance policies, especially concerning health and safety, labour laws, and environmental impacts.
- **Supplier Audits:** Conduct regular audits of suppliers and subcontractors to ensure compliance with agreed terms and conditions, specifically focusing on their adherence to safety standards and regulatory requirements in MEP projects.

6. Reporting and Documentation

- **Compliance Reports:** Prepare and submit detailed compliance reports to senior management and stakeholders, outlining any non-compliance issues, ongoing initiatives, and the effectiveness of compliance programs.
- **Documentation Management:** Ensure that all compliance-related documentation (such as regulatory approvals, permits, contracts, audits, and reports) is properly stored, maintained, and easily accessible for future reference or inspections.
- **Regulatory Reporting:** Ensure timely and accurate submission of regulatory reports and documentation to relevant authorities, including health and safety inspections, environmental audits, and labour compliance reports.

7. Compliance Investigations and Corrective Actions

- **Investigate Compliance Issues:** Lead investigations into any potential compliance breaches or incidents, such as violations of safety protocols, environmental regulations, or labour laws.
- **Corrective Actions:** Develop and implement corrective actions for any compliance-related issues identified during audits, inspections, or investigations. Ensure that these actions are followed up and effective in preventing future occurrences.
- **Disciplinary Procedures:** Work with HR and senior management to implement disciplinary measures when necessary for individuals or teams that fail to comply with company policies or legal requirements.

8. Ethical Standards and Corporate Governance

- **Promote Ethical Practices:** Foster an ethical business environment by promoting ethical decision-making, transparency, and corporate responsibility across all departments and project teams.

- **Corporate Governance:** Assist in ensuring good corporate governance by ensuring compliance with corporate policies, ethical standards, and business practices, particularly in the management of MEP projects and contracts.
- **Conflict Resolution:** Address ethical concerns and conflicts related to compliance issues by facilitating discussions, providing guidance, and ensuring that resolutions are aligned with the company's values and legal obligations.

9. Collaboration and Communication

- **Collaborate with Senior Management:** Work closely with senior leadership to align compliance efforts with the company's goals and ensure that all departments are fully committed to compliance.
- **Liaise with External Authorities:** Act as the primary point of contact for external regulatory bodies and auditors, facilitating communications, inspections, and ensuring that external requirements are met.
- **Cross-Departmental Collaboration:** Collaborate with other departments, such as legal, finance, and HR, to ensure compliance across all aspects of the company's operations, especially in MEP projects.

10. Sustainability and Environmental Compliance

- **Environmental Regulations:** Ensure compliance with environmental laws and sustainability practices, particularly in relation to MEP projects. This includes waste management, energy efficiency, emissions reduction, and adherence to green building standards.
- **Sustainability Reporting:** Assist in the preparation of sustainability and environmental compliance reports, ensuring that Spark Tech MEP Ltd. meets its corporate social responsibility (CSR) obligations and adheres to sustainability goals.
- **Sustainability Initiatives:** Lead the integration of environmental sustainability into compliance practices, encouraging eco-friendly approaches to MEP design, construction, and operations.

11. Compliance Monitoring and Record Keeping for Temporary Site Services

- **Temporary Services Compliance Oversight:** Ensure that all temporary electrical and plumbing services installed on live construction sites adhere strictly to relevant regulations, such as BS 7671 (IET Wiring Regulations), the Electricity at Work Regulations 1989, and applicable Water Supply (Water Fittings) Regulations. This includes oversight of temporary power distribution boards, site lighting, power tools, temporary plumbing fixtures, and water supplies.
- **Site Compliance Inspections:** Conduct and document regular site inspections to assess the compliance of temporary services installations with safety and technical standards. Ensure proper segregation, protection, and clear labelling of temporary electrics and plumbing infrastructure across all active construction sites.
- **Monitoring Temporary Installations:** Implement a structured system to monitor the ongoing status of temporary electrical and plumbing systems.
This includes:
 - Periodic testing and inspection (e.g., PAT testing of portable electrical equipment, insulation resistance testing).
 - Verification of temporary installations before energisation.

- Ensuring plumbing connections are sanitary and do not pose contamination or leakage risks.

- **Compliance Documentation:** Maintain up-to-date records for all temporary services installations, including:

- Installation certificates and commissioning records.
- Inspection and testing logs.
- Risk assessments and method statements (RAMS).
- Temporary Works Design and Approval documentation, where applicable.

Non-conformance reports and corrective action records related to temporary site services.

- **Coordination with Site Management Teams:** Work collaboratively with project managers, site supervisors, and temporary works coordinators to ensure temporary service provisions meet both regulatory requirements and operational safety standards throughout the construction phase.
- **Subcontractor Oversight:** Ensure all subcontractors involved in the provision or management of temporary electrics and plumbing are fully compliant with internal policies and external regulations. Review their RAMS, insurance, and competencies prior to work commencement, and monitor their performance on an ongoing basis.
- **Incident Response and Escalation:** Lead or support investigations of any compliance breaches, near-misses, or incidents related to temporary site services. Ensure root cause analysis is conducted and findings are documented, followed by effective corrective and preventative actions.
- **Training and Site Briefings:** Develop and deliver toolbox talks and site-specific induction briefings focused on the safe use and legal compliance of temporary electrics and plumbing. Ensure all relevant site operatives are familiar with control measures, reporting procedures, and emergency protocols.