

## SINGLE CORPORATE SERVICES

### Governance and Risk Compliance

<b>Job title:</b>	<b>Head of Compliance</b>	<i>To be completed by HR  Job Reference Number</i>
<b>Reporting to:</b>	Associate Director of Quality Governance	
<b>Accountable to:</b>	Chief Nurse	
<b>Pay Band:</b>	8a	

As part of the Single Corporate Service, the role provides a service across both Isle of Wight NHS Trust and Portsmouth Hospitals University NHS Trust.

As the single corporate service will be delivered across both organisations, individuals may be required to undertake business travel between sites. The frequency and arrangements will be discussed on an individual basis and the staff mobility local agreement will apply.

For our leaders managing staff across multi-site locations, they will need to be visible and provide in person leadership. The arrangements and frequency will be agreed locally.

#### **Job purpose**

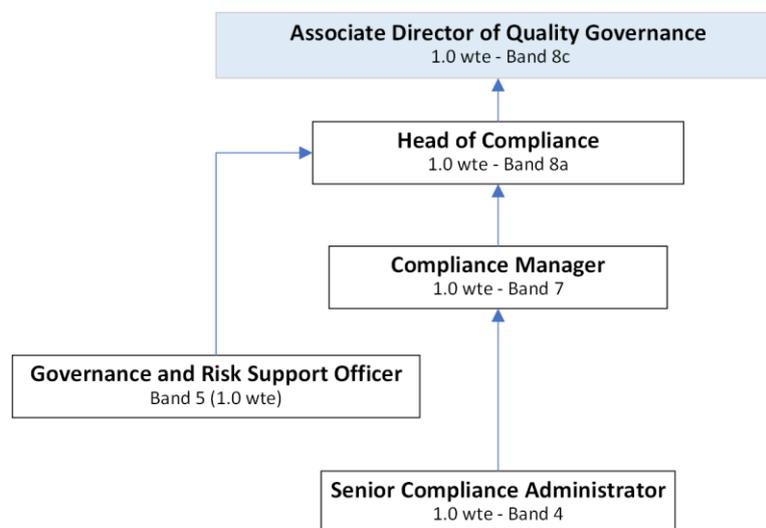
To ensure both Trusts meet their legal and regulatory obligations associated with compliance and to ensure that there are robust arrangements in place to continue to be well led organisations. This includes assurance and escalation as necessary. The Head of Compliance is the designated lead for compliance in both Trust's and will be accountable to both the Associate Director of Quality Governance and the Chief Nurse.

#### **Job summary**

1. To support and work closely with the Associate Director of Quality Governance in working in partnership with the Executive Team, Divisions and care groups to support services to influence and provide evidence-based assurance that the requirements of quality and regulatory compliance are being implemented effectively and sustainably. In addition, the post holder will lead systems and processes to support:
  - Care Quality Commission regulation and compliance.
  - Trust-wide policy management and monitoring.
  - Safety alert compliance.
  - Quality action plan monitoring and reporting.
  - External visits and Inspections.
2. To lead and advise in relation to all matters relating to regulatory compliance with the Health and Social Care Act 2008, and associated Care Quality Commission (CQC) Regulations; ensuring that the Trust is registered to provide clinical services.
3. To ensure the provision of timely, accurate and comprehensive data to support the Trust in maintaining CQC registration.

4. To provide advice about all issues and risks relating to compliance with the Regulations and ensure that all new clinical services are registered with the CQC.
5. To support the Associate Director of Quality Governance, on behalf of the Trusts, in the management and approach to HIOW ICB, including negotiation of the quality contract reporting requirements, relationship management, enquiries and using knowledge and expertise to ensure a proactive approach to the relationship with the ICB and oversight within the Trusts.
6. To be responsible for the design and management of an assurance programme about the Trust compliance.
7. To influence senior management to develop a culture of high-level quality compliance within the organisation, ensuring the regulatory landscape is understood.

### Organisational Chart



### Specific Core Functions

1. Act as the Trust's expert for CQC regulation, using detailed knowledge to advise and provide support across the Trust.
2. Maintain specialist knowledge of any national and local policy and best practice relating to regulatory Health care compliance, this includes being conversant with guidance and publications in relation to regulatory processes and oversight of latest inspection reports and publications. Identifying any implications of associated changes for the Trust, making recommendations for change to Trust policies and processes as required.
3. Providing support to the Associate Director of Quality Governance and the Chief Nurse with all matters relating to the CQC. This includes the collation and preparation of information requested or required by the CQC which may be highly complex, detailed, highly sensitive or confidential, seeking senior and expert opinion where required to ensure accurate and up to date information is provided.
4. To support the Associate Director of Quality Governance and the Chief Nurse in all matters relating to a CQC inspection. This includes, but not limited to coordinating preparations for any inspections, leading on the collation, review and submission of all data requests and factual accuracy process within the required timeframes.
5. To lead on the development and coordination of action plans for any CQC Must Do or Should Do actions arising from inspections.

6. Act as the Trust professional lead in all matters relating to regulatory compliance.
7. To horizon scan and be conversant with guidance and publications in relation to regulatory processes, including maintaining oversight of latest inspection reports and publications, ensuring that new learning is shared.
8. Act as the Corporate lead and expert resource for the development and publication of the Trust annual Quality Account on behalf of the Associate Director of Quality Governance.
9. Ensure that all compliance matters are reported back to the Divisional and Care group leads
10. To lead the oversight of the patient safety alert system (CAS alert) and ensure compliance is maintained and reported on.
11. To lead on the production and development of the monthly Integrated Governance Report's for the Trust leadership teams.
12. Manage and provide leadership to the Compliance team, including line management responsibilities.
13. Lead and oversee Group wide policy management, ensuring all Trust wide policies are reviewed, approved, and monitored in line with regulatory, statutory, and organisational requirements.
14. Develop effective working relationships with clinical and corporate leads responsible for compliance and ensure that effective reporting structures are embedded.
15. Analyse, triangulate and interpret information, demonstrating a high level of attention to detail to provide comprehensive reports for Board, Committee' s and groups that provide clear information and guidance.
16. To support the Associate Director of Quality Governance, on behalf of the Trusts, in the management and approach to HIOW ICB, including negotiation of the quality contract reporting requirements, relationship management, enquiries and using knowledge and expertise to ensure a proactive approach to the relationship with the ICB and oversight within the Trusts.
17. Routinely report to the Associate Director of Quality Governance any significant matters of concern, including any risks to on-going compliance which may have a material effect on the reputation of the Trust.
18. To ensure robust governance processes are in place to provide assurance.
19. Contribute to the overall governance and risk improvement agenda, alongside the Delivering Excellence Framework.
20. Establish links and working relationships with external agencies and partners, contributing to regional networks / groups across the health and social care system to enable shared learning and development.
21. Support and participate in-house training/induction for staff, to ensure individual awareness of the importance of governance and compliance.
22. Role requires planning and organisation of a broad range of activities, some of which are on-going (e.g. CQC compliance). These will require formulation, negotiation and adjustment to meet the requirements of the organisation and external directives.
23. The role requires judgements involving highly complex facts and situations (e.g. CQC inspections and interpretation of legislation, Board Quality reporting), which require analysis, interpretation and comparison of a range of options.
24. This is not an exhaustive list of duties and responsibilities, and the post holder may be required to undertake other duties, which fall within the grade of the job, in discussion with the manager.

25. This job description will be reviewed regularly in the light of changing service requirements and any such changes will be discussed with the post holder

## **Key Responsibilities**

### ***Communication and Working Relationships***

The post holder will be providing and receiving highly complex, highly sensitive or highly contentious information, where developed persuasive, motivational, negotiating, training, empathic or re-assurance skills are required. This may be because agreement or co-operation is required or because there are barriers to understanding and/or presenting complex, sensitive, or contentious information to a large group of staff.

### ***Analytical and Judgement***

Judgements involving highly complex facts or situations, which require the analysis, interpretation, and comparison of a range of options.

### ***Planning and organising***

The post holder will be responsible for formulating long-term, strategic plans, which involve uncertainty, and which may impact across the whole organisation.

### ***Physical Skills***

The post requires physical skills which are normally obtained through practice over a period of time or during practical training e.g. standard driving or keyboard skills, use of some tools and types of equipment.

### ***Patient Client Care***

Assists patients/clients/relatives during incidental contacts.

### ***Policy and Service Development***

The post holder is responsible for major policy implementation and policy or service development, which impacts across or beyond the organisation.

### ***Financial Management***

The post holder holds a delegated budget from a budget for a department/service

### ***Management/Leadership***

The post holder is the line manager for the Compliance Team, responsible for appraisals, managing sickness absence, dealing with disciplinary and grievance issues, leading on recruitment and selection, staff development and succession planning and managing all aspects of people management.

### ***Information Resources***

The post holder will be responsible for data entry, text processing or storage of data compiled by others, utilising paper, or computer-based data entry systems.

### ***Research and development***

Undertakes surveys or audits, as necessary to own work; may occasionally participate in R&D, clinical trials or equipment testing.

***Freedom to Act***

The post holder is required to interpret overall health service policy and strategy, in order to establish goals and standards.

***Physical effort***

There is a frequent requirement for sitting or standing in a restricted position for a substantial proportion of the working time.

***Mental effort***

There is a frequent requirement for intense concentration.

***Emotional Effort***

Frequent exposure to distressing or emotional circumstances, or occasional exposure to highly distressing or highly emotional circumstances, or frequent indirect exposure to highly distressing or highly emotional circumstances.

***Working conditions***

Occasional exposure to unpleasant working conditions, or occasional requirement to use road transportation in emergency situations, or frequent requirement to use road transportation, or frequent requirement to work outdoors, or requirement to use Visual Display Unit equipment more or less continuously on most days.

## Person Specification

Criteria	Essential	Desirable	<i>How criteria will be assessed</i>
<b>Qualifications</b>	<ul style="list-style-type: none"> <li>• Educated to Masters degree level (or equivalent experience)</li> <li>• Graduate Diploma (or equivalent experience)</li> </ul>	<ul style="list-style-type: none"> <li>• Project Management qualification</li> </ul>	
<b>Experience</b>	<ul style="list-style-type: none"> <li>• Significant experience in working in regulatory compliance.</li> <li>• Experience of developing and maintaining relationships and partnerships with internal colleagues and external agencies and parties and experience and knowledge of relevant national agendas and guidance.</li> <li>• Experience of analysing and interpreting information from multiple sources.</li> <li>• Effective management of individual and team performance.</li> <li>• Effective relationship building across a wide range of disciplines.</li> <li>• Skill in organising resources and establishing priorities.</li> <li>• Ability to develop, plan, and implement short- and long-term plans.</li> <li>• Ability to make administrative/procedural decisions and judgments.</li> <li>• Effective communication with a wide range of groups/individuals.</li> <li>• Building positive approaches to team working, inspiring and motivating others to engage in change and future developments to improve outcomes.</li> </ul>	<ul style="list-style-type: none"> <li>• Experience of working in NHS regulatory compliance.</li> </ul>	

Criteria	Essential	Desirable	<i>How criteria will be assessed</i>
	<ul style="list-style-type: none"> <li>Ability to think and operate strategically as well as locally.</li> </ul>		
<b>Knowledge</b>	<ul style="list-style-type: none"> <li>Highly developed communications skills when providing and receiving highly complex, sensitive or contentious information (verbal, non-verbal, written and self-presentation).</li> <li>Knowledge and skills compliance monitoring</li> <li>Managing and developing others.</li> <li>Organisational skills</li> <li>Motivation and enthusiasm.</li> <li>Networking skills.</li> <li>Strong presentation skills.</li> <li>Tact and diplomacy.</li> <li>Advanced IT skills including word processing, PowerPoint and databases.</li> <li>Ability to manage continuously evolving priorities and deadlines.</li> <li>Excellent interpersonal skills underpinned by a confident and professional manner.</li> <li>Ability to make judgments and decisions in a complex environment.</li> <li>Well-developed influencing skills across hierarchies and disciplines.</li> <li>Ability and confidence to act to ensure delivery.</li> </ul>	<ul style="list-style-type: none"> <li>Knowledge of NHS policy and issues</li> <li>Ability to inspire and motivate others.</li> </ul>	

### **Compliance statement to expected organisational standards.**

To comply with all Trust Policies and Procedure, with particular regard to

- Risk Management
- Health and Safety
- Confidentiality
- Data Quality
- Freedom of Information
- Equality Diversity and Inclusion
- Promoting Dignity at Work by raising concerns about bullying and harassment
- Information and Security Management and Information Governance
- Counter Fraud and Bribery

The Trust has designated the prevention and control of healthcare associated infection (HCAI) as a core patient safety issue. As part of the duty of care to patients, all staff are expected to:

- Understand duty to adhere to policies and protocols applicable to infection prevention and control.
- Comply with key clinical care policies and protocols for prevention and control of infection at all time; this includes compliance with Trust policies for hand hygiene, standards (universal) infection precautions and safe handling and disposal of sharps.
- All staff should be aware of the Trust's Infection Control policies and other key clinical policies relevant to their work and how to access them.
- All staff will be expected to attend prevention and infection control training, teaching and updates (induction and mandatory teacher) as appropriate for their area of work, and be able to provide evidence of this at appraisal.
- To perform your duties to the highest standard with particular regard to effective and efficient use of resources, maintaining quality and contributing to improvements.
- Ensure you work towards the Knowledge and Skills Framework (KSF) requirements of this post. KSF is a competency framework that describes the knowledge and skills necessary for the post in order to deliver a quality service.
- Your behaviour will demonstrate the values and vision of the Trust by showing you care for others, that you act professionally as part of a team and that you will continually seek to innovate and improve. Our vision, values and behaviours have been designed to ensure that everyone is clear about expected behaviours and desired ways of working in addition to the professional and clinical requirements of their roles.
- Ensure you adhere to and work within local and national safeguarding children legislation and policies including the Children Act 1989 & 2004 , Working Together to Safeguard Children 2013, 4LSCB guidance and the IOW Safeguarding Policy.
- Ensure you adhere to and work within the local Multiagency safeguarding vulnerable adults policies and procedures
- Ensure that you comply with the Mental Capacity Act and its Code of Practice when working with adults who may be unable to make decisions for themselves,

- Ensure that you maintain personal and professional development to meet the changing demands of the job, participate in appropriate training activities and encourage and support staff development and training.
- Respect the confidentiality of all matters that they may learn relating to their employment and other members of staff. All staff are expected to respect conform to the requirements of the Data Protection Act 1998, including the responsibility to ensure that personal data is accurate and kept up to date
- If your employment is to a post that requires you to be registered with a professional body, the continuation of your employment is conditional upon you continuing to be registered with the appropriate professional body. The Trust will require evidence of current registration.
- Proactively, meaningfully and consistently demonstrate the Trust Values in your everyday practice, decision making and interactions with patients and colleagues.
- Perform any other duties that may be required from time to time.

This job description may be altered, from time to time, to meet changing needs of the service, and will be reviewed in consultation with the post holder.