

JOB DESCRIPTION

**OUR VISION: 'TO BE THE LEADING HEALTH AND WELLBEING SERVICE IN
THE PROVISION OF MENTAL HEALTH AND COMMUNITY CARE'**

JOB TITLE	Clinical Lead for Compliance
BAND	Band 7
RESPONSIBLE TO	Head of Compliance and Emergency Planning
ACCOUNTABLE TO	Director of Risk and Compliance
BASE	Trust Head Office, The Lodge, Wickford
HOURS OF WORK	15

ROLE SUMMARY

The post holder will be a Champion for driving forward best practice in line with the Quality Statements and be responsible for the management and implementation of the Trust's Policy/Procedure and Strategy system and for ensuring that all Mental Health, Learning Disability and Community Health Service locations remain compliant with the CQC Registration Standards.

The post holder will be required to provide cross cover with other Clinical Leads for Compliance and cover other Trust services as directed by the Head of Compliance and Emergency Planning.

KEY RESPONSIBILITIES

• Operational Responsibilities

1. Responsible for undertaking the role of lead auditor in internal comprehensive inspections of Trust services and teams against CQC registration requirements. This will involve development of an annual calendar of inspections in partnership with operational and other support services, development of appropriate audit tools and review of intelligence held.
2. Responsible for facilitating the development and collection of evidence for external Trust inspections including DOH inspections, peer reviews, CQC inspections.
3. Will undertake comprehensive inspections of compliance across all wards, teams and services. This will involve triangulation of different evidence sources including records audit, patient/carer interviews, staff interviews and manager interviews.

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4. Responsible for identification and analysis of information intelligence sources which provide assurance of compliance or indications of risk of non-compliance with CQC Registration requirements.
5. Will develop robust inspection reports and action plans following comprehensive inspections and ensuring these are shared with all appropriate departments. The post holder will appropriately address any areas of non-compliance and inform the Head of Compliance of any gaps in compliance immediately.
6. Responsible for review of all audits and monitoring undertaken across the Trust that consider any aspects of Trust policy/ procedure, clinical guidelines or strategy implementation and for ensuring that this information is built into the compliance information.
7. Responsible for managing trust wide implementation and ongoing development of the Trust policy/ procedure, clinical guideline and strategy system ensuring that all Trust policies/procedures, clinical guidelines and strategies are reviewed as appropriate and are in date.
8. Responsible for ensuring that national best practice and legislative requirements are considered as part of all policy/procedure, clinical guideline and strategy review. This will include the post holder being responsible for working with policy leads at all levels of the organisation to update policies and procedures according to best practice.
9. Responsible for advising staff in clinical areas on how policy and procedure should be interpreted in line with best practice and following audit/monitoring findings.
10. Responsible for developing a system of assurance that will provide assurance to the Trust Board of Directors of compliance with Trust policies/ procedures, clinical guidelines and strategies across the Trust.
11. Responsible for risk rating all Trust policies/ procedures, clinical guidelines and strategies in partnership with leads.
12. Responsible for the design, implementation and management of a system that monitors compliance throughout the Trust with Trust Policies/Procedures, Clinical Guidelines and Strategy documents. This will include identification and evaluation of existing monitoring arrangements.
13. Responsible for ensuring that records are kept of all Trust monitoring of policies/procedures, clinical guidelines and strategies, and are available in the event of a Corporate Manslaughter claim or a negligence claim against the Trust.
14. Responsible for coordination of all external assurance of compliance with Trust policies/procedures, clinical guidelines and strategies and for ensuring that this information is built into the compliance information system.

15. Responsible for the management of the external visits/inspection and accreditations system. This will include keeping a schedule of all expected visits/inspections and accreditations; keeping a record of all recommendations made at such visits; monitoring that action plans across all services are completed; and that all committees of the Trust have been informed appropriately.
16. Responsible for the coordination of Healthwatch and Director and Governor Quality visits
17. Responsible for providing professional clinical guidance to staff, coaching on care planning requirements across the Trust and for leading / participating in training clinical staff re: care planning, processes of Risk Assessment and Clinical Risk Management and will facilitate care planning documentation reviews.
18. Be involved as required in response meetings to identify hot spots.

- **Communication and Working Relationships**

19. The role requires excellent communication skills both verbal and written, with the ability to develop collaborative working practices and relationships at all levels within the Trust.
20. The post holder will be responsible for sharing information intelligence at all appropriate levels of the Trust and providing intelligence for Trust Quality Summits.
21. The post holder will work collaboratively with all directorate and frontline staff to identify opportunities for improving compliance across the Trust and for supporting their implementation where appropriate.
22. The post holder will be responsible for raising awareness about the CQC Registration Requirements across all areas of the Trust.
23. The post holder will be responsible for supporting all services/locations across the Trust to maintain compliance with the CQC Registration Requirements. This will include facilitating each area to have a completed and up to date Local Portfolio of Evidence.
24. The post holder will be responsible for providing regular policy/procedure and strategy review reports to the various committees in the Trust to provide assurance that Trust policies and procedures are being implemented throughout the Trust and report any exceptions and actions being taken.
25. The post holder will be responsible for providing regular reports to key committees in the Trust (such as HSSC, CGQC, LOEC, SMBs etc) as required where non-compliance with policy/ procedure and clinical guidelines is found.
26. The post holder will undertake monitoring and auditing in partnership with the key leads for Trust policies/procedures, clinical guidelines and strategies where existing monitoring / auditing arrangements are not in place.

27. The post holder will produce reports of findings, highlighting areas of risk, making recommendations using quality improvement tools and ensuring changes are implemented and embedded in practice. This will require the post holder to have well developed IT skills, particularly in the use of Microsoft Word, and Power Point software programmes.
28. The post holder will be responsible for proposing changes to policy following audit/monitoring findings. This will involve working with clinicians and participation in working parties proposing Trust wide policy changes in all areas of the Trust and all types of policy.
29. The post holder will be responsible for ensuring that any gaps in compliance found as part of the monitoring are addressed. This will involve development of action plans and facilitating implementation of action plans in the clinical area. The post holder will be required to advise the Trust if changes in practice/service delivery or changes to Trust policy and procedure are required where gaps are found and for working with the executive team, senior managers and operational clinical staff to ensure gaps are addressed.
30. The post holder will be responsible for helping to implement compliance action plans across services in the Trust. This will involve delivering training / awareness raising sessions, reviewing Trust policies/procedures and strategies and working with different staff groups to ensure compliance with Trust policy is trust wide.
31. The post holder will be responsible for ensuring all monitoring findings and action plans are communicated at all levels across the Trust in appropriate manners. This will involve communicating complex information, often with conflicting results. The information will be of a sensitive nature and on occasion controversial. The post holder will be responsible for ensuring communication is appropriate at all levels of the organisation. This will include developing reports for committees at all levels in the Trust, presenting findings to different committees at all levels in the Trust, delivering training sessions to front line staff and using Trust publication systems.

- **Management**

32. To manage compliance staff within the department as required including objective setting, appraisals, monitoring training compliance and day to day supervision.
33. The post holder will be responsible for attending the Trust Clinical Governance and Quality Committee on behalf of the Compliance Team.
34. The post holder will be responsible for attending appropriate Service Management Team meetings on behalf of the Compliance Team.
35. The post holder will be responsible for attending appropriate clinical committee meetings on behalf of the Compliance Team.

- **Budget Responsibilities**

36. The post holder will be an authorised signatory for timesheets and expenses.

37. The post holder will be expected to observe personal duty of care in relation to equipment and resources used in course of their work.

- **Other**

- **Training & Development**

38. To undertake ongoing Personal and Professional Development in order to maintain own professional standards through attendance on training and education programmes commensurate with the duties of this post.

39. To keep informed and up to date with developments in the areas of statutory and corporate requirements, technological developments and best practices in Compliance.

40. To maintain own professional stands and professional registration requirements through attendance on training and education programmes.

- **Responsibility for Patient/Client Care**

41. To ensure the consideration of patients and carers experience in all aspects of work.

42. To work in all areas of the Trust (both clinical and non-clinical) and will be required to assist service users/ clients/relatives during any incidental contacts.

- **Analysis and Judgement**

43. The post holder will have and will utilise:

- Highly developed analytical skills to understand and communicate complex information at all organisational levels.
- Clear and confident judgement making skills.
- Decisive decision making skills, informed by evidence.
- The ability to interpret national guidance into local policy and procedure.

44. The post holder will be responsible for designing appropriate tools for monitoring and auditing services, where they do not already exist and reviewing existing methods and tools to ensure all policy/procedures, clinical guidelines and strategies are monitored effectively for compliance.

45. The post holder will be responsible for analysing monitoring/audit findings. This will include analysing complex, often conflicting and sensitive information and will involve dealing with incomplete information and investigating gaps.

46. The post holder will be responsible for assessing if changes to services or policy change is necessary following compliance monitoring/auditing and if this is required Trust wide or in specific areas of the Trust.

- **Physical, Mental and Emotional Effort**

47. The post holder will be responsible for supporting the development, maintenance and management of an IT based compliance system. The post holder will be required to have good IT skills including excel, file management and outlook skills. The post holder will be required to have good keyboard skills and will be required to spend considerable amounts of time using the computer. The post holder will be required to input using a keyboard and to access electronic patient records for the purpose of reviewing.

48. The post holder will be required to undertake frequent, prolonged and intent concentration in analysing complex information/data and while undertaking complex calculation and detailed analysis of statistics produced.

49. The post holder will be required to work in all areas of the Trust (clinical and non-clinical) and will be required to work with clinical information such as service users case notes, Mental Health Act documentation, incidents, Patient Safety Incidents, complaints and claims for the purpose of monitoring and reporting.

50. The post holder will also be required to frequently travel to the different Trust sites to undertake audit and monitoring.

- **Freedom to Act**

51. The post holder will have discretion to take action based on their own interpretation. This will involve taking immediate corrective action to ensure the safety of people receiving care where policy/procedure is not being implemented or where non-compliance with CQC or national requirements is found and advising the organisation on longer term actions if required.

Any other duties as delegated by Line Manager commensurate with the responsibilities of this post.

ADDITIONAL DUTIES

In addition to the above duties you will also be expected to perform the below key activities in line with your job role;

- Complete mandatory training in line with Trust policy and procedures
- To participate in the staff appraisal process and to undertake for any staff you manage
- To keep yourself updated on all matters relating to Trust policy and NHS Compliance
- To provide management supervision where appropriate

OUR TRUST STRATEGIC OBJECTIVES SUPPORTED BY OUR VISION AND VALUES

PEOPLE FIRST

PURPOSE

We **care** for people, every day.
What we do **together**, matters.

VISION

To be the **leading** health and wellbeing service in the provision of **mental health** and **community care**.

VALUES

We **CARE**
We **LEARN**
We **EMPOWER**

STRATEGIC OBJECTIVES

We will deliver **safe**, high quality **integrated** care services.

We will **enable** each other to be the **best** that we can.

We will work together with our **partners** to make our services **better**.

We will help our communities **thrive**.

ASSURANCE STATEMENT

The purpose of this job description is to outline levels of responsibility and accountability of this post, to ensure that all work undertaken by our staff is identified and lines of accountability are clear.

NHS CONSTITUTION

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You are responsible for ensuring that the values outlined in the NHS Constitution are adhered to daily and any matters of concern are raised with the relevant Line Manager or through the necessary processes within the Trust.

You are responsible for delivering a compassionate, dignified and respectful service to patients at all times.

DUTY OF CANDOUR

You must adhere to the principles of openness, transparency and the statutory duty of candour in your day to day work and conduct and encourage the same behaviours within the wider organisation.

EQUAL OPPORTUNITIES STATEMENT

The Trust operates an Equal Opportunities Policy and expects staff to have a commitment to equal opportunity in relation to employment, development, training and service delivery.

NO SMOKING POLICY

The Trust is committed to a policy which discourages smoking and prohibits smoking on Trust property and on Trust business outside it.

INFECTION CONTROL

The post holder is accountable and responsible for the prevention of healthcare associated infections by complying with all Infection Prevention & Control policies and procedures in line with legislation (Health Act 2006; Code of Practice for the Prevention and Control of Healthcare Associated Infections.)

HEALTH AND SAFETY

All employees must be aware of the responsibilities placed upon them under the Health and Safety at Work Act (1974) to ensure that the agreed safety procedures are carried out to provide a safe environment for employees and visitors.

GENERAL DATA PROTECTION REGULATION 2018

The General Data Protection Regulation (2018) is to ensure compliance with all Trust policies, and those procedures relevant to the area of work.

The Trust will always seek to process your personal data in accordance with its obligations and your rights.

The GDPR requires that personal data shall be;

- Processed Lawfully, fairly and in a transparent manner in relation to individuals;
- Collected for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes; further processing for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes shall not be considered to be incompatible with the initial purpose;
- Adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed;
- Kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data are processed;

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personal data may be stored for longer periods insofar as the personal data will be processed solely for archiving purposes in the public interest, scientific or historical research purposes or statistical purposes subject to implementation of the appropriate technical and organisational measures required by the GDPR in order to safeguard the rights and freedoms of individuals; and

- Processed in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate, technical or organisational measures.

All employees must adhere to the Trust's Policy on the Protection and Use of Personal Information which provides guidance on the use and disclosure of information. The Trust also has a range of policies for the use of computer equipment and computer generated information. These policies detail the employee's legal obligations and include references to current legislation. Copies of the Policy on the Protection and Use of Personal Information and other Information Technology policies are included in the Trust's Policies and Procedures Manual/Intranet.

INFORMATION ASSET OWNERS AND ADMINISTRATORS

An information asset is a service user, staff or corporate information/data, processed by us and held in an electronic or hard copy/manual format. An information asset owner (IAO) is a senior member of staff who is the nominated owner for one or more identified information assets within the service/Trust. If you are a nominated IAO you will understand and monitor the following;

- What information assets are held and for what purpose within your team
- How information is created, amended or added to over time
- Who has access to information and why
- Understand and address the risk to the asset, providing assurance to the senior information risk owner in the overall information risk management function
- As an Information Asset Administrator you will ensure you fulfil the following responsibilities
- Ensure that policies and procedures are followed
- Recognise actual or potential security incidents, consulting with IAO's on incidents and management
- Ensuring that information asset registers are accurate and up to date.

CONFIDENTIALITY

Your attention is drawn to the confidential nature of information collected and used throughout the NHS. The unauthorised use or disclosure of patient, staff or other personal information is a dismissible offence. The unauthorised disclosure of information could also result in a prosecution for an offence, or action for civil damages, under the General Data Protection Regulation.

You are required to observe the strictest confidence regarding any Confidential Information relating to work of the Trust, its patients/clients and its employees.

"Confidential Information" includes but is not limited to information relating to the Trust received by you in the course of your employment with the Trust or its predecessors,

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information relating to patients, personnel information, budgeting and financial information and information in respect of which the Trust owes a duty of confidentiality to a third party.

You are required not to disclose any Confidential Information either during or after your employment with the Trust, unless expressly authorised to do so by the Trust or required in the proper performance of your duties or as required by law.

This obligation will cease only when such information comes into the public domain other than through unauthorised disclosure by you.

Failure to comply with these requirements could result in action being taken under the Trust's Conduct/Disciplinary Policy and Procedure.

This obligation is without prejudice to the law concerning protected disclosures in the Public Interest Disclosure Act 1998 (the so-called "Whistleblowers Act").

RISK MANAGEMENT

All staff working in, or for the Trust have a responsibility for participating in the risk management programme. All post-holders have a responsibility to assess all risks to systems, processes and environment and contribute to the clinical and corporate governance agendas as appropriate.

SAFEGUARDING DUTY

"It is the responsibility of the post holder to be aware of and follow the legislation and guidance regarding Safeguarding Children and Adults as stated in the Trust Safeguarding Policy and the Southend, Essex and Thurrock (SET) Child Protection Guidance. This applies to all staff regardless of which member of the family is the primary client. The post holder is responsible for ensuring they receive the appropriate level of Safeguarding Children training according to their role".

INFORMATION TECHNOLOGY

It is the responsibility of the post holder to have a level of IT competence relevant to their job role and will be expected to continue to keep their skills up to date as part of their Continuing Professional Development.

CHANGES TO THIS JOB DESCRIPTION

Post holders have a responsibility to discuss any significant job changes with their line manager at the time the change occurs and agree any permanent substantial change.

On appointment within the Trust staff may be allocated to a specific area of care. It is however Trust policy to allocate staff to other areas of work within the Trust from time to time where this is in the interest of the individual and / or the service.

The Job Description does not purport to be an exhaustive list of duties and responsibilities. The post holder will be expected to undertake additional duties as the requirements of the post change.

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Date post holder in receipt of job description

Signature of post holder

Signature of line manager

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