



Compliance Manager
Job Description
Closing date: 2 October 2020

Summary

The Compliance Manager has the responsibility for ensuring that all departments meet the expected standards for regulatory reporting. To prepare and submit the annual regulatory returns for General Dental Council, Ofqual and Companies House in collaboration with the Board and Senior Management Team. To liaise with the Responsible Officer and ensure any updates or requested adhoc and annual reporting is communicated timely and appropriately. They will also have responsibility for delivery of internal audit in areas identified by regulators and the Board/SMT, looking to implement best practice. Assessment of regulatory impacts, review of consultations and regulatory notices.

Job specification

Job Title:	Compliance Manager
Accountable To:	Head of Operations, Quality & Standards
Location:	Preston

Our Objects

All NEBDN employees are expected to contribute to the objects of the charity:

To improve the education and training of dental nurses to enable skill, safety and operational excellence to be achieved, meeting the high standards set by the charity for the benefit of both the general public and the dental profession

Our Values

NEBDN employees are all expected to subscribe to the organisation's Standards of Performance.

Purpose of the Post

The Compliance Manager is part of the Operations team and is responsible for compliance on regulatory criteria and processes across all Regulators and ensuring compliance with NEBDN procedures at all times.

Key Responsibilities

1. Act as a key point of contact with Regulators.
2. Maintain and operate the 'compliance' email.



3. Manage data in the relevant systems and produce reports and information as requested by the business or by the regulators.
4. Develop, improve and support the self-evaluation process and preparation of the annual statements of compliance encompassing all areas of the organisation.
5. Monitor the self-evaluation process, allocating conditions and licensing criteria to key staff, capturing key information and updating systems.
6. Support teams to carry out self-evaluation activity in their department and monitor their progress against agreed timescales for completion. This should include identification of relevant key performance indicators wherever possible.
7. Undertake internal compliance checks, reviews and interviews across departments to ensure that teams are meeting regulatory requirements.
8. Lead in the co-ordination and response to regulatory external audits, adverse effect management, thematic reviews and data requests.
9. Ensure that all policies and process are meeting necessary legal and regulatory compliance
10. Improve and consolidate the internal audit functions to ensure on-going cross company compliance with regulatory requirements using a risk-based approach which supports the core delivery and functions of the business and identifies opportunities for improvements and lean outcomes.
11. Review the policies and procedures related to risk and adverse effects across the business.
12. Identify, develop and implement the monitoring and reporting tools to provide the Board of Trustees, SMT, and the Regulators with an on-going overview and understanding of the status of NEBDN's regulatory compliance and malpractice and maladministration investigations.
13. Identify preventative actions that NEBDN needs to take to prevent reoccurrences of Course Provider issues that could or have led to investigations or adverse effects.
14. Research regulatory compliance models and develop and maintain effective working relationships with key senior stakeholders and education sector contacts, key partner organisations, other regulated industries and awarding bodies to exchange best practice and ensure that NEBDN is a proactive and dynamic organisation.
15. Contribute to investigations as required.
16. Assist the wider NEBDN team with any appropriate duties



General requirements

1. Ensure that all responsibilities are undertaken in an effective and appropriate manner which meet the requirements of NEBDN in accordance with the Standards of Performance and Conduct.
2. Seek to continuously improve in all aspects of the job role in order that the charity delivers the best possible service.
3. Positively participate in internal/external meetings and training.
4. Positively participate in regular one to ones and annual appraisals.
5. Ensure that all NEBDN's policies and procedures are adhered to at all times.
6. Work in accordance with NEBDN's culture, values, aims and objectives.
7. Act as a positive ambassador for the charity at all times. Represent NEBDN at national meetings and events and ensure the charity is promoted and ahead of national changes to the profession.
8. Undertake any other duties that may be reasonably required from time to time.
9. Acknowledging the need for professional sharing of information with relevant parties, maintain strict confidentiality of information conveyed to them by the Chief Executive, Trustees, beneficiaries, staff and external organisations.

NB: This Job Description forms part of the Contract of Employment of the person appointed to this post. It reflects the position at the present time only and may be changed at management's discretion in the future. As a general term of employment, the Charity may make any necessary change in job content or may require the post holder to undertake other duties, at any location in the Charity's service, provided that such changes are appropriate to the employee's role.



Person Specification

Post: Compliance Manager		
Criteria	Essential or Desirable	Method of Identification
Qualifications: Equivalent professional experience in a similar role – minimum 2 years	Essential	Application
Proven Experience: Exposure to and interaction with Regulatory Compliance within the educational sector	Essential	Application
Relevant experience of working in an Ofqual regulated Awarding organisation	Essential	Application
Experience of delivering work to strict deadlines	Essential	Application/interview
Experience of identifying and determining KPI frameworks to assure on areas of compliance	Essential	Application/Interview
Experience of working with stakeholders to achieve standards of compliance	Essential	Application/Interview
Experience of reviewing policies and process to identify and manage risk	Essential	Application/Interview
Experience of producing reports and information on request	Essential	Application/Interview
Experience of audit or investigation process for regulatory frameworks	Essential	Application/Interview
Knowledge, Skills and Abilities: Able to 'think on feet' and respond to challenging situations whilst also taking a measured approach when required	Essential	Application/Interview
Understanding of regulatory and legal obligations affecting NEBDN	Essential	Application/Interview
Excellent written and verbal communication skills and ability to represent the organisation professionally	Essential	Interview



Ability to build effective working relationships with internal and external stakeholders to work collaboratively to achieve objectives.	Essential	Application/Interview
Ability to systematically and objectively collect and analyse evidence to identify areas of non-compliance.	Essential	Application/Interview
The ability to effectively manage a varied workload whilst maintaining high standards of accuracy	Essential	Application/Interview
Excellent organisational skills and ability to prioritise multiple tasks	Essential	Application/Interview
Analytical and problem-solving skills	Essential	Interview
Excellent IT skills with ability to prepare reports in Word, spreadsheets in Excel and Power Point	Essential	Application
Ambition and ability to reinforce the highest standards of service delivery	Essential	Application/Interview
Understanding of data protection standards	Essential	Application/Interview
Behaviours:		
High standards of personal ethics, honesty and integrity	Essential	Interview/application
A genuine desire for service excellence and continuous improvement	Essential	Interview/application
High levels of attention to detail and understanding of the important of accuracy in regulatory reporting	Essential	Interview/application
Self-motivated and ability to work independently when required	Essential	Interview/application
Other Attributes:		
Full driving licence	Desirable	Application
Able and willing to travel on business when required including overnight stays	Desirable	Application
Able to be flexible in hours of work when required according to charity requirements	Essential	Application



Empathy with NEBDN's aims and objectives	Desirable	Interview
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Employment Offer

NEBDN aims to be an employer of choice, and we provide a great working environment and the opportunity to work as part of a dedicated team.

Salary: £30-33k per annum according to skills and experience.

Location: NEBDN, First Floor, Quayside Court, Chain Caul Way, Preston PR2 2ZP. There is free on-site parking.

Hours of Work: 35 hours per week for full time.

Annual Leave: 25 days per year plus 8 bank holidays

Pension: NEBDN will contribute the equivalent of 10% of your salary to the pension scheme