## Northumberland County Council JOB DESCRIPTION

Post Title:	Compliance Officer	Director/Service/Sector: Place, Busines	Office Use		
Band:	6	•		JE ref: 2857	
Responsible to Leader	: Business and Customer Support Team	Date: 17 September 2018	Manager Level: N/A	HRMS ref:	

**Job Purpose:** Lead in the implementation, maintenance and review of service specific practices and procedures to assure legislative and statutory compliance, to support Place Group functions including quality assurance and fleet compliance.

Resources	Staff	None		
	Financial	Some responsibility for allocated service budgets, monitoring expenditure/income, raising orders or processing invoices in a particular area of work.		
	Physical	Shared responsibility for the physical resources used by a team including vehicles, tools and equipment. Capture, input and maintain key corporate information systems. Careful use of allocated tools and equipment including a PC. Providing assurance of fleet compliance across operating centres and a large number of vehicles and plant.		
	Clients	Shared responsibility for the general wellbeing and safety of those who use the service and the general public. Assist with the development of policies, procedures and services Supports the management teams across the Group to monitor and provide assurance of legislative and statutory compliance.		

## **Duties and key result areas:**

- 1. To ensure document policies, procedures, work instructions, safe working practices, and risk assessments are being consistently applied and clear audit trail exists to validate compliance. This will include the interpretation of and compliance with legal requirements and making recommendations to senior management where non compliance is observed regarding appropriate action.
- 2. Provide service management teams with updates on compliance issues and make recommendations on implementation of control measures.
- 3. Implement new and revised procedures to ensure revision levels of documentation are consistent, accessible and in use.
- 4. To support those named on the Operator's Licence (The Goods Vehicle [Licence for operators] Regulation) and ensure the council complies with all Licence conditions and undertakings.
- 5. To audit and monitor operating departments and individual drivers under the terms of the Operator's Licence
- 6. To audit and monitor documentation and working practices in relation to Road Transport Law, with particular reference to the Council's responsibilities under the National Highways Sector Schemes and Code of Practice.
- 7. To assist in providing acceptable arrangements for observing drivers hours through appropriate records or tachographs. These arrangements include training and instruction of drivers, collation of analysts reports, report corrective actions signed off and statistical pattern identification.
- 8. Assist in managing the work of a project team of staff to ensure an efficient and effective standard of service is provided to the required standard.
- 9. Lead Quality Management and Business Improvement projects, managing task allocation, targets and remit for members of the team.
- 10. Lead and develop a programme of work for the maintenance of external recognition for ISO 9001:2015, BS EN 12899:2007 and BS EN 17025:2017 and any other certification identified by management.
- 11. Responsible for development, implementation, maintenance and review of integrated management system processes and procedures in conjunction with senior managers.
- 12. Provide ongoing support and advice to specific service areas as required to ensure continual improvement within their integrated management systems.
- 13. Promote the use of Quality Management Systems in order to allow the Council to successfully compete for external works in Sign Services, Highways Laboratory, Traffic Management, Surface Dressing and others Local Services areas of work.
- 14. Providing specialist support and advice relating to 'compliance' internal audits for services. Support managers to monitor and measure internal audit outcomes and ensure compliance with related standards and business requirements.

- 15. To collate and control enforcement body requests and pending prosecution requests and ensure required documents are completed and returned, logging and securing details.
- 16. Coordinate and maintain Zurich Examination Reports, produce action plans as appropriate and monitor to completion.
- 17. Monitor and measure the effectiveness of contracts and suppliers, in liaison with procurement through the evaluation of tenders and conduct 2<sup>nd</sup> party audits if required
- 18. Maintain ongoing liaison with appropriate external bodies.
- 19. Identify training opportunities and provide training and awareness on compliance issues.
- 20. Support managers and supervisors to prepare and maintain operational and service task specific based risk assessments and undertake routine spot checks to ensure that staff understand and follow healthy and safe working practices.
- 21. Assist in the development of systems and processes to ensure compliance with (Health and Safety at work) specifically, PUWER (Provision and Use of Work Equipment Regulation), LOLER (Lifting Operations and Lifting Equipment Regulations), Pressure systems safety regulations, PAT (Portable Appliance Testing), Abrasive wheels regulations, Environmental Legislation and any legislative areas relating to Fleet Transport operations.
- 22. Maintain appropriate work records to the required service standards, observing data protection, privacy and confidentiality rules and procedures.
- 23. Produce management reports and information based upon operational or research data to inform and assist the business planning process.
- 24. Process payments, order goods and services, receive goods and process invoices for payment in accordance with financial procedures and regulations.
- 25. Monitor relevant budget headings to ensure effective spend against established targets and compliance with financial regulations.
- 26. Provide training and awareness on compliance issues through training and awareness programmes
- 27. Other duties as appropriate to the nature, level and grade of the post.

## **Work Arrangements**

Transport requirements: Working patterns: Working conditions:

Travel to work sites, area offices or training venues throughout the County on a routine basis and further a field on occasion.

Working arrangements will vary from service to service. Flexi-hours apply. Regular requirement to work outdoors conducting site visits, spot checks which often include exposure to disagreeable, unpleasant or hazardous conditions.

## Northumberland County Council PERSON SPECIFICATION

Post Title: Compliance Officer	Director/Service/Sector: Place, Business Support	Ref: 2857
Essential	Desirable	Assess by
Qualifications and Knowledge		
A good standard of general education demonstrating numeracy and literacy.  Knowledge of quality management systems including ISO 9001:2015  An understanding of the key health and safety issues relating to the service.  An awareness of current laws, regulations, policies, procedures, and developments relevant to the service.  Knowledge of the main operational, procedural and practical issues relating to Place Group services.  Internal auditor qualification.  Knowledge of business process improvement techniques.  Evidence of ongoing personal development.  Full driving licence	Good understanding of public sector services Understanding of project management tools and techr Knowledge and full understanding of Operator Licence legislation. Nebosh Qualification. Training qualification	
Experience		•
Experience in applying a range of relevant auditor methods, tools and techniques.  Experience in working collaboratively with service users.  Experience in engaging effectively with others and building productive partnerships.  Experience of delivering excellent customer service.  Experience in using Microsoft Office, Google and Oracle applications.  Skills and competencies	Experience of public sector service delivery Experience of working in a quality management / bus improvement environment with working knowledge of 9001:2015 BS EN 12899:2007 and BS EN 17025:201 Experience in delivering training	ISO
Effective IT skills and able to use ITC to achieve work objectives.  Ability to prepare concise and accurate risk assessments.  Prepares written, verbal and other media that are rational, convincing and coherent.  Effectively expresses own views using appropriate means depending upon the audience.  Able to advise and suggest improvement methods (through research and experience) in an operational environment to drive the service forward.  Proactive and achievement orientated.  Numerate and able to prepare business related statistics.  Applies a methodical approach to problem solving.  Negotiation skills and able to persuade others to an alternative point of view.  Remains calm and logical in stressful and difficult situations.  A strong corporate orientation and a commitment to tackling issues in a non-departmental manner.  Dependable, reliable and keeps good time.  Models and encourages high standards of honesty, integrity, openness, and respect for others.  Helps create a positive work culture in which diverse, individual contributions and perspectives are valued.	Skilled in the use of Microsoft Office.  Positive and flexible attitude to work – particularly new initiatives	

Able to apply own initiative to overcome day-to-day operational problems.						
Physical, mental and emotional demands						
Normally works from a seated position but with regular need to walk, bend or carry items.						
Ability to work outdoors in all kinds of weather conducting assessments and audits.						
Need to maintain general awareness with ongoing periods of enhanced concentration.						
Extensive contact with public/clients in dispute with the County Council.						

Key to assessment methods; (a) application form, (i) interview, (r) references, (t) ability tests (q) personality questionnaire (g) assessed group work, (p) presentation, (o) others e.g. case studies/visits