

The Vale of Glamorgan Council

Senior Management Appointment Committee: 6th December 2018

Report of the Managing Director

Recruitment and Selection Arrangements for Head of the Regional Internal Audit Shared Service

Purpose of the Report

1. To set out interview arrangements in respect of the post of Head of the Regional Internal Audit Shared Service and to ask the Committee to identify and confirm a suitable candidate for appointment.

Recommendation

1. To interview the two candidates shortlisted by the four Section 151 Officers and Audit Committee Leads for the four Authorities and, if appropriate, confirm an appointment and any conditions therein to the post concerned.
2. To delegate any outstanding appointment arrangements, as appropriate to the Head of Finance / Section 151 Officer in consultation with the Leader and Managing Director.

Reason for the Recommendation

1. To ensure that the appointment to the post proceeds in accordance with the requirements of the Council's Constitution.
2. As 1. above.

Background

2. The Senior Management Appointment Committee met on 24th September, 2018 and approved the arrangements to fill the position of Head of the Regional Internal Audit Shared Service within the Managing Director and Resources Directorate. A copy of this report is on the following link :
http://www.valeofglamorgan.gov.uk/en/our_council/Council-Structure/minutes_agendas_and_reports/reports/Senior-Management-Appointment/2018/18-09-24/Head-of-Regional-Internal-Audit.aspx
3. Members will recall that the Head of Finance was requested to undertake the initial long/short -listing and assessment of applicants, in consultation with the Leader and

the Managing Director. On conclusion and depending on the outcome of this process, a further meeting of the Senior Management Appointment Committee be convened to interview and determine the suitability of candidates for appointment to the post.

4. For the information and to support Members in the consideration of the suitability of the candidates a copy of the agreed Job Description and Person Specification in respect of the post of Head the Regional Internal Audit Shared Service which were previously agreed are attached at Appendix A and Appendix B of this report.

Relevant Issues and Options

5. Following the meeting of the 24th September 2018, the post of Head the Regional Internal Audit Shared Service was advertised internally in the four Councils - Bridgend, Merthyr, RCT and Vale - with a closing date for receipt of applications at 5pm on the 16th October 2018.
6. The recruitment campaign attracted four internal applications. Each of the four applicants (one from each of the collaborating Councils) were determined by the Section 151 Officers of the four Councils to have achieved the requirements of the agreed Person Specification and the four candidates were subsequently invited to attend at an assessment centre .
7. In accordance with the process agreed by Members of this Committee, the assessment centre took place with the involvement of the Audit Chair (or their deputy) and Head of Finance / Section 151 Officers from each of the collaborating Authorities supported by Vale of Glamorgan Council HR colleagues.
8. As part of the assessment centre process, each of the four candidates undertook an on line verbal critical reasoning, numerical verbal reasoning and psychometric tests. prior to attending the assessment centre. The assessment centre itself took place on the 16th November 2018 which included a presentation / questions session, interview phase and an "in tray exercise" which was undertaken by each of the four candidates to assist consideration, selection and to identify suitable candidates through the process for referral to this Committee.
9. On conclusion of the above assessment process two of the four applicants were identified to progress to attend for a final interview with the Senior Management Appointment Committee.
10. At the meeting of the Committee, it is proposed that Members consider each of the application forms for the short listed candidates and receive feedback on the assessment centre from the Head of Finance / Section 151 Officer. It is further proposed that Members also receive a presentation and interview from each of the short listed applicants and that Members then determine if either of the two candidates are suitable for appointment to the post.
11. A copy of the application forms in respect of the two shortlisted candidates will be considered under Agenda Item No. 7 (Part II arrangements).
12. A list of suggested interview questions will be tabled at the Committee meeting for consideration and allocation to Members of the Committee under Part II arrangements.
13. Members are requested to bring the application form to the meeting of this Committee to assist the selection process. The presentation and interviews will be conducted under "Part II" provisions of Access to Information legislation.

14. Appointment to the above role will be on terms and conditions as prescribed by the Joint Negotiating Committee for Chief Officers of Local Authorities. A summary of the main terms and conditions is set out on Appendix C.
15. The salary for the role will be in accordance with the Vale of Glamorgan's Head of Service salary grade which is currently a five point grade running from £68,803 to £76,449 (£70,180 to £77,978 from 1st April 2019).

Resource Implications (Financial and Employment)

16. Appointment to the above post will be on terms and conditions as prescribed by the Joint Negotiating Committee for Chief Officers of Local Authorities and on the current Head of Service salary range of between from £68,803 to £76,449 (£70,180 to £77,978 from 1st April 2019) plus associated on costs.
17. The resource implications in respect of the extended Service are set out in more details within the relevant reports to Cabinet on the 18th June 2018 and to the Audit Committee on the 25th July 2018.

Sustainability and Climate Change Implications

18. There are no sustainability and climate change implications arising from this report.

Legal Implications (to Include Human Rights Implications)

19. The recruitment arrangements to the posts set out in this report are congruent with the requirements of the Council's Constitution and the requirements of The Local Authorities (Standing Orders) (Wales) Regulations 2014

Crime and Disorder Implications

20. There are no crime and disorder implications directly arising from this report.

Equal Opportunities Implications (to include Welsh Language issues)

21. The selection process for this post is congruent with the equality principles set out in the Council's recruitment and selection policies and procedures

Corporate/Service Objectives

22. The proposals within this report have been designed to ensure the effective implementation and development of the shared RIASS function.

Policy Framework and Budget

23. The issues as set out within this report are delegated to the Senior Management Appointment Committee in accordance with the Council's Constitution.

Consultation (including Ward Member Consultation)

24. The Trade Unions have been consulted in each collaborating Council through their respective Joint Consultation arrangements.

Relevant Scrutiny Committee

25. Corporate Performance and Resources

Background Papers

Reports to each Council
Job Description
Person Specification

Contact Officer

Carys Lord, Section 151 Officer

Officers Consulted

Section 151 Officers in the collaborating Authorities
Monitoring Officer / Head of Legal and Democratic Services
Operational Manager, Human Resources

Responsible Officer:

Rob Thomas, Managing Director



THE VALE OF GLAMORGAN COUNCIL

JOB DESCRIPTION

DESIGNATION/POST TITLE	:	Head of Audit
POST NUMBER	:	W-RM-AU001
DEPARTMENT/DIRECTORATE	:	MD and Resources
DIVISION/SECTION	:	Internal Audit
LOCATION	:	Currently - Primarily Civic Offices Barry and across the Council areas of Bridgend, Merthyr, RCT and Vale of Glamorgan. These areas are expected to increase as the Service expands
POST GRADE	:	Head of Service
RESPONSIBLE TO	:	Chief Officer/Section 151 Officer
RESPONSIBLE FOR	:	All staff within the Shared Audit Service
LIAISON	:	Currently across the four Councils - Officers at all levels, elected members and client departments. Also Welsh Assembly Government, other Government departments, external organisations, suppliers, contractors
MAJOR PURPOSE OF POST	:	To implement, manage and extend the Regional Internal Audit Shared Service and to develop a commercial element to enable the service to undertake audit work for a third party

MAIN DUTIES AND RESPONSIBILITIES

The job description refers to the principal duties and responsibilities of the Post. It does not necessarily list in detail all the tasks required to carry out these duties and responsibilities.

- Strategic management responsibilities for the Council's Internal Audit Service including provision of a shared service to Bridgend County Borough Council, Merthyr Tydfil Council, RCT Council and/or any other partner organisation that may be determined from time to time.
- Develop and deliver effective and clear operational management arrangements to ensure that the Council's statutory obligations and policy objectives are met.
- Develop an effective commercial element and drive of the team to enable the service to provide a specialist audit service for other Local Authorities outside the shared service and/or tender for audit work in other public sector organisations.
- Work with the Head of Service in the strategic management of the Service in each local authority and deputise for the Head of Service in the Vale of Glamorgan as appropriate.
- Attend and contribute to the strategic work and responsibilities of the Council's Corporate Management Team

CORPORATE RESPONSIBILITIES AND OBJECTIVES

- Work in partnership with all Council services and other organisations to deliver common objectives in accordance with the Corporate Plan and Community Strategy.
- Contribute to the strategic management of the Directorate and promote and represent the work of the Council and partner agencies.
- Work with and support Audit Committee Members, Cabinet and Scrutiny Members and all Elected Members in their Ward roles across the four Local Authorities
- Manage the Shared Audit Service in order to achieve improved performance and encourage creativity and innovation in service delivery.
- Manage services in line with each Council's performance management framework, ensuring planning and monitoring of performance in order to achieve targets and objectives.
- Plan, manage and control operational budgets, ensuring that services are provided cost effective and delivered within the resources available.
- Remain aware of changes which could affect the Service, both nationally and locally, including legislation and policy changes.

- Prepare strategic plans/reports as necessary and ensure that these are produced to a high standard in and accordance with corporate requirements.
- Attend and contribute to meetings of Cabinet, Scrutiny Committee, Audit Committee and other Council meetings in each collaborating authority as necessary.
- Comply with all corporate plan strategies, including the Human Resources Strategy, Workforce Plan, develop and deliver Service Plan in each collaborating authority and respective Team Plans.

OPERATIONAL RESPONSIBILITIES

- Lead the drive to deliver a successful Internal Audit Shared Service (IASS) into a centre of excellence, co-ordinate with other Audit providers to ensure a consistent and coherent service model and ensure that it is effective and commands a high standard of respect both internally and externally.
- Lead on client/customer relations at senior management level, ensuring productive and positive working, maintaining high visibility with clients/customers, offering sound guidance and advice to officers and members.
- Determine audit needs for individual clients/customers, including in respect of ICT, Project Management, Contract, Procurement, Systems, Regularity and investigation audit work. Ensure the appropriate focus of coverage for each client/customer.
- Lead on the development a commercial element of the team to enable the service to provide a specialist audit service for other Local Authorities outside the shared service or to tender for audit work in other public sector organisations.
- Be responsible for the production of audit plans with audit areas prioritised according to risk.
- Ensure compliance with the requirements of the Public Sector Internal Audit Standards or any other relevant standards that may be introduced from time to time.
- Support the relevant Audit Chairs and Audit Committees in discharging their duties under their terms of reference.
- Ensure that the RIASS is managed such that audit plan is achieved on time, to budget and to appropriate levels of quality standards.
- Participate in multi-functional/multi-disciplinary projects and tasks.
- Be responsible for ensuring that all allegations of fraud irregularities, fraud and corruption are promptly and fully investigated and to ensure appropriate liaison with the appropriate law enforcement authorities as necessary.

- Establish, develop and maintain good working relationships with external auditors and other review agencies, so as to ensure optimum audit coverage and engagement with the audit process.
- Be accountable for the continuous improvement of the Service, contributing to the Service Plan and Team Plans, identifying and implementing new ways of working in the interests of more effective provisions. Contribute to the achievement of Service objectives and performance targets.
- Adopt best practice principles within the Audit Section, including compliance with relevant legislation, Council Policies, processes and procedures and perform all audit work in accordance with the Public Sector Internal Audit Standards.
- Provide support and guidance to Council Members, service managers and staff development and maintenance of effective financial management, corporate governance and internal control systems.
- Ensure compliance with the Council's Financial Regulations, Standing Orders, Policies and Procedures
- To manage and ensure that the Services for which you are responsible are run in accordance with the principles of the Councils Corporate Equal Opportunities Policy.
- To adhere to Health and Safety legislation / relevant Council policies and procedures and to take reasonable care for health and safety of yourself and other persons who may be adversely affected by your acts / omissions.
- To implement the principles of the Council's Environment Policy while carrying out the above duties.
- To report without delay any safeguarding concerns to the appropriate safeguarding officer.

In addition to the above duties and responsibilities, the post holder must be prepared to undertake such additional duties which may result from changing circumstances, but which may not of necessity change the general character or level of responsibility accorded to the post.

Operational Manager grades are related to the JNC for Chief Officers terms and conditions and therefore are inclusive of any out of normal hours working that is required to satisfy the requirements of the post.

SIGNED:
(Director/Chief Officer)

DATED:

SIGNED:
(Postholder)

DATED:

Person Specification

Post No	W-RM-AU001	Designation:	Head of Audit	Department:	Audit
Section:	MD and Resources	Completed By:	C Lord	Date:	August 2018

The Person Specification outlines the main attributes needed to adequately perform the post specified. In drawing together the specification, a critical examination of the job description has been undertaken to pinpoint those elements of the post deemed as essential.

The Person Specification is intended to give prospective candidates a better understanding of the post requirements.

		Essential	Desirable	Ascertained by
1.	Experience	<ul style="list-style-type: none"> Working with elected members Experience of operationally managing staff at a senior level. Experience of the delivery of quality services on time and within budget. Able to demonstrate a track record of relevant achievement 	<ul style="list-style-type: none"> Experience of delivery of services to other organisations Experience of bidding for tenders to deliver services 	Application form/Interview
2.	Knowledge	<ul style="list-style-type: none"> Knowledge of current issues and regulations within audit Proven ability to drive and deliver targets Ability to manage and organise workload. Good organisational, verbal/written communication skills. 	<ul style="list-style-type: none"> Knowledge and understanding of current local government issues 	

		Essential	Desirable	Ascertained by
3.	Skills and aptitudes	<ul style="list-style-type: none"> • The ability to successfully manage strategic service delivery at a senior level. • The ability to analyse and review service objectives and policies. • Excellent leadership qualities. • Excellent verbal and written communication skills. • The ability to build and sustain partnerships. • Well-developed financial management skills. • The ability to obtain commitment from staff to achieve stated goals/objectives. • Inquiring and analytical mind. • Excellent interpersonal and communication skills. 	<ul style="list-style-type: none"> • Strong influencing and negotiating skills. • A dedication for finding and implementing solutions to problems. • Visionary abilities 	Application form/Interview/
4.	Qualifications and training	<ul style="list-style-type: none"> • CCAB qualified or recognised Audit qualification with at least five years post qualification • Experience at senior management level 	<ul style="list-style-type: none"> • Evidence of continued professional development. 	Application form/Certificates/References
5.	Attitude and motivation	<ul style="list-style-type: none"> • Highly motivated self starter • Capable of logical and original thought. • Able to work under pressure and to achieve targets and deadlines • An energetic leader who is able to respond to changing priorities and demands. • A team worker when necessary with ability to motivate others and lead multi-disciplined teams by example. • Commitment to Equal Opportunities, customer satisfaction and staff development. 		Application form/Interview
6.	Other (please specify)	<ul style="list-style-type: none"> • Able to work out of office hours as required. • Ability to drive/travel throughout the collaborative region and between locations of the Service as appropriate 	<ul style="list-style-type: none"> • Ability to speak / learn welsh 	Interview



MAIN TERMS AND CONDITIONS

1. CONTRACT The type of contract offered will be open ended and permanent.

2. CONDITIONS The Conditions of Services will be in accordance with the Joint Negotiating Committee for Chief Officers, Plus any other conditions or regulations which may be prescribed by the Council from time to time.

3. SALARY The salary will be up 5 incremental points commencing at £68,803 to £76,449 per annum. Progression beyond the third incremental point is dependent on satisfactory progress and performance through the Chief Officer Appraisal system. Access to points four and five is subject to successful performance review determined by the Council.

4. ANNUAL LEAVE Annual Leave entitlement will be 34 days (plus public holidays).

5. HOURS OF WORK You will be required to work such hours as may be reasonably necessary (including attendance at evening and weekend meetings) to meet the requirements of the post for which no additional payments will be made.

The appointment requires “whole time” commitment to the work of the Council. No business or other additional appointment will be acceptable without the express consent of the Council.

6. SICK PAY Occupational Sick Pay Scheme will be accordance with the JNC for Chief Officers Conditions of Services.

7. PENSION The Local Government Pension scheme will apply.

8. POLITICAL RESTRICTION This post is politically restricted in accordance with the Local Government and Housing Act 1989 and subsequent amendments.

9. NOTICE PERIODS Termination by six months’ notice in writing on either side will apply.

10. CAR ALLOWANCE The Council’s local Car allowance scheme will apply.

11. DISCIPLINARY, CAPABILITY & GRIEVANCE PROCEDURES As defined within the JNC for Chief Officers of Local Authorities Handbook.