

Meeting of:	Senior Management Appointment Committee
Date of Meeting:	Thursday, 03 November 2022
Relevant Scrutiny Committee:	No Relevant Scrutiny Committee
Report Title:	Recruitment and Selection Arrangements for the Head of Regional Internal Audit Service
Purpose of Report:	To propose arrangements for recruitment, selection and appointment to the post of Head of Regional Internal Audit Shared Service
Report Owner:	Director of Corporate Resources
Responsible Officer:	Section 151 Officer
Elected Member and Officer Consultation:	Director of Corporate Resources
Policy Framework:	The issues within this report are delegated to the Senior Management Appointment Committee in accordance with the Council's Constitution. The final decision will be referred for information to Council
<p>Executive Summary:</p> <ul style="list-style-type: none"> • The report sets out the recruitment and selection arrangements proposed for the position of Head of the Regional Internal Audit Service and seeks approval for the proposed arrangements. • Following discussion by the Board for the Regional Internal Audit Service (comprising the Section 151 Officers of the 4 Councils) ("the Partners") it is proposed that the new post is advertised as soon as possible as the role is critical to the delivery and development of the Service. • It is proposed that the post is advertised both internally and externally to ensure the best opportunity to attract an appropriately qualified, skilled and experienced individual to the role. • The proposed appointment process provides for the participation of the Partners due to the Service being a regional, shared service with Bridgend, Merthyr Tydfil, Rhondda Cynon Taf Councils with the Vale of Glamorgan being the host Authority for the service and the employer of the staff. 	

Recommendations

1. That the Senior Management Appointment Committee approve that the post of Head of the Regional Internal Audit Service is advertised internally and externally.
2. That the Senior Management Appointment Committee approve the Job Description (Appendix A) and Person Specification (Appendix B) in respect of the post of Head of the Regional Internal Audit Service.
3. That the Senior Management Appointment Committee delegates authority to the Head of Finance to undertake the initial long/short listing and assessment of applicants, in consultation with the Leader and the Director of Corporate Resources and the Section 151 officers in the Partner authorities.
4. That the Senior Management Appointment Committee approve the proposal that the Chair (or Vice-Chair) of the Governance & Audit Committees from each of the Partner authorities be invited to take part in the assessment process.
5. That the Senior Management Appointment Committee note that Section 151 officers from the Partner authorities will be involved in the assessment day to ensure that their opinions may be considered by this committee.
6. That the Senior Management Appointment Committee note that depending on the outcome of the assessment 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.

Reasons for Recommendations

1. To ensure the appointment is progressed in accordance with the requirements of the Council's constitution
2. To allow matters to be progressed in advance of the final stage of recruitment
3. To ensure the engagement of the Section 151 Officers and Chairs of the Governance & Audit Committees of the Partner Authorities in the recruitment and selection process.
4. To enable the Chair of the Governance and Audit Committees to be involved in the assessment process.
5. To enable the Section 151 Officers to be involved in the assessment process.
6. To enable the progression of the recruitment process in line with the Council's senior management appointments processes.

1. Background

- 1.1 The Bridgend and Vale of Glamorgan Internal Audit Shared Service was fully operational under a formal partnership agreement from February 2013 to March 2019. This partnership was expanded in April 2019 to include Merthyr Tydfil and Rhondda Cynon Taf Councils with the Vale of Glamorgan Council being the host and the employer of the staff within the Regional Internal Audit Service.

- 1.2 The service has operated successfully since April 2019 with all staff transferring to the Vale of Glamorgan Council. A new structure was developed and implemented in 2021 with staff being matched to appropriate posts and a successful recruitment campaign has been conducted during 2022 to fill vacant posts within the service.
- 1.3 The current post holder, who has been in post since 2019 has given notice of his intended retirement at the end of March 2023 and the Board for the Regional Internal Audit Service (comprising the Section 151 Officers of the 4 Councils) consider that the post should be advertised internally and externally as soon as possible as the role is critical to the delivery and development of the Service.

2. Key Issues for Consideration

- 2.1 Due to the Service being a regional, shared service, the process for the appointment to the post of Head of the Regional Internal Audit Service has been discussed with partner local authorities. As was the case when the role was filled in 2018/19, it is proposed that the Senior Management Appointment Committee within this Council is the appropriate body to oversee the appointment process as this Council will be the employing organisation.
- 2.2 As happened previously, to ensure that all authorities within the partnership are able to participate in this process, it is proposed that the Chair of the Governance & Audit Committee in each of the four authorities, or their deputy, are invited to take part in the assessment process. This can be achieved by inviting them to the assessment day, which will be held for those candidates who are long-listed for the post.
- 2.3 In addition, it is recommended that the four Section 151 officers will be part of the assessment day to ensure that the short-listed candidates to be considered by this committee are agreed by officers from across the Partnership.
- 2.4 Following discussion by the Board for the Regional Internal Audit Service (comprising the Section 151 Officers of the 4 Councils) it is proposed that the new post is advertised internally and externally to ensure the best opportunity to attract an appropriately qualified, skilled and experienced individual to the role.
- 2.5 The updated Job Description (Appendix A) and Person Specification (Appendix B) for the post are attached for the consideration and approval of the Committee.

3. How do proposals evidence the Five Ways of Working and contribute to our Well-being Objectives?

- 3.1 This recruitment & selection exercise will be for a permanent appointment.
- 3.2 The Well-being of future Generations (Wales) Act will be considered fully during this exercise.

4. Climate Change and Nature Implications

- 4.1** There are no direct climate change or nature implication as a result of this report

5. Resources and Legal Considerations

Financial

- 5.1** The vacancy is a consequence of the current post holder's planned retirement. The costs associated with this particular recruitment process would be predominantly officer time only and this can be met from existing budgets.
- 5.2** The costs associated with the recruitment exercise (for example, external advertising) will be met from existing Corporate Resources budgets.
- 5.3** Appointment to this position 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 £73,192 and £81,325 (excluding on-costs).
- 5.4** The employee costs are already budgeted for as the grade of the role remains unchanged.

Employment

- 5.5** The approach to the recruitment and selection process are described in the body of this report.

Legal (Including Equalities)

- 5.6** This recruitment process is intended to be compliant with Local Government, Employment and Equalities legislation.
- 5.7** The recruitment process will be managed in accordance with the Council's equality proofed recruitment and selection policy and the provisions of the Local Authorities (Standing Orders) (Wales) Regulations 2014.

6. Background Papers

Appendix A – Head of Regional Internal Audit Job Description

Appendix B - Head of Regional Internal Audit Person Specification



THE VALE OF GLAMORGAN COUNCIL

JOB DESCRIPTION

DESIGNATION/POST TITLE	:	Head of Regional Internal Audit Service
POST NUMBER	:	W-RM-AU001
DEPARTMENT/DIRECTORATE	:	Finance/Corporate Resources
DIVISION/SECTION	:	Regional Internal Audit Service
LOCATION	:	Current base Civic Offices Barry and across the Council areas of Bridgend, Merthyr, RCT and Vale of Glamorgan and any other clients, or between locations as appropriate as the Service expands.
POST GRADE	:	Head of Service
RESPONSIBLE TO	:	Chief Officer/Section 151 Officer
RESPONSIBLE FOR	:	All staff within the Regional Internal Audit Service, with line management of the Deputy Head of the Regional Internal Audit Service and Audit Manager.
LIAISON	:	All departments within the Vale of Glamorgan, Bridgend, Merthyr Tydfil and Rhondda Cynon Taf Councils and any other clients, Officers at all levels Members, outside bodies and the public Welsh Government, other Government departments, Audit Wales, external organisations, suppliers, contractors.
MAJOR PURPOSE OF POST	:	The Regional Internal Audit Service provides assurance to key stakeholders on effectiveness of risk management, control and

governance processes.

The Service works for 4 Councils and it is envisaged will work for a number of other public sector clients.

The role of the post is to strategically manage the delivery of the Regional Shared Service and to develop a commercial element to enable the service to undertake audit work for third parties in the public and voluntary sector.

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.

1. To lead the Regional Internal Audit Shared Service and play a leading role in the Regional Internal Audit Service Senior Management Team.
2. Strategic management responsibilities for the Vale of Glamorgan Council's Internal Audit Service including provision of a Regional Internal Audit Shared Service to Bridgend, Merthyr Tydfil and Rhondda Cynon Taf Councils and any other partner organisation that may be determined from time to time.
3. Work closely with the Head of Finance/S151 officers in the strategic management of the Service in each local authority and with the Board for the Regional Internal Audit Service.
4. Work closely with both Lay & Elected Members of the Governance & Audit Committees of each Council, in particular the Chairs and Vice Chairs.
5. Develop and maintain excellent working relationships with Senior Officers, Councillors and Lay Members of each Council and their External Auditors.
6. Develop and deliver effective and clear operational management arrangements to ensure that the Council's statutory obligations and policy objectives are met.
7. 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/voluntary sector organisations.
8. Attend and contribute to the strategic work and responsibilities of the Council's Strategic Leadership Team as required .

9. Deputise for the Head of Finance in the Vale of Glamorgan when necessary/appropriate, considering the need to maintain the independence of the role of Head of the Regional Internal Audit Service.

CORPORATE RESPONSIBILITIES AND OBJECTIVES

10. Work in partnership with all Council services and other organisations to deliver common objectives in accordance with the Corporate Plan, Annual Delivery Plan, and Well being Strategy.
11. Contribute to the strategic management of the Directorate and promote and represent the work of the Council and partner agencies.
12. Work with and support Governance & Audit Committee Members, Cabinet and Scrutiny Members and all Elected Members in their Ward roles across the four Local Authorities
13. Manage the Regional Internal Audit Service in order to achieve improved performance and encourage creativity and innovation in service delivery.
14. Manage services in line with each Council's performance management framework, ensuring planning and monitoring of performance in order to achieve targets and objectives.
15. Plan, manage and control operational budgets, ensuring that services are provided cost effective and delivered within the resources available.
16. Remain aware of changes which could affect the Service, both nationally and locally, including legislation and policy changes.
17. Prepare strategic plans/reports as necessary and ensure that these are produced to a high standard in and accordance with corporate requirements.
18. Attend and contribute to meetings of Cabinet, Scrutiny Committee, Governance & Audit Committee and other Council meetings in each collaborating authority as necessary.
19. 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

20. Lead the drive to deliver a successful Regional Internal Audit Service (RIAS) 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.
21. 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.

22. Determine audit needs for individual clients/customers, including in respect of ICT, Project Management, Contract, Procurement, Systems, Regularity, Counter Fraud and investigation audit work. Ensure the appropriate focus of coverage for each client/customer.
23. Lead on the development of 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/voluntary organisations.
24. Be responsible for the production of audit plans with audit areas prioritised according to risk.
25. 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.
26. Ensure that the RIAS is managed such that audit plan is achieved on time, to budget and to appropriate levels of quality standards.
27. Participate in multi-functional/multi-disciplinary projects and tasks.
28. 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.
29. Be responsible for ensuring that Counter Fraud related policies are in place and kept up to date at the Vale of Glamorgan and other clients as agreed.
30. 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.
31. 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.
32. Adopt best practice principles within the Service, including compliance with relevant legislation, Council Policies, processes and procedures and perform all audit work in accordance with the Public Sector Internal Audit Standards.
33. Provide support and guidance to Council Members, Service Managers and staff, to development and maintenance of effective financial management, corporate governance and internal control systems.
34. Ensure compliance with the Council's Financial Procedure Rules, Contract Procedure Rules, Standing Orders, Policies and Procedures.

35. To manage and ensure that the Services for which you are responsible are run in accordance with the principles of the Council's Corporate Equal Opportunities Policy.
36. 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.
37. To report without delay any safeguarding concerns to the appropriate safeguarding officer
38. To undertake such personal training as may be deemed necessary to meet the duties and responsibilities of the post and participate in the Vale of Glamorgan Council's personal development review scheme.
39. Maintain the confidentiality of personal data in accordance with General Data Protection Regulations and other associated legislation;
40. To implement the principles of the Council's Environment Policy while carrying out the above duties.
41. 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.
42. Head of Service 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 Regional Internal Audit Service	Department:	Finance
Section:	Regional Internal Audit Service	Completed By:	M Bowmer	Date:	October 2022

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 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 Substantial experience at a senior level in a local government, wider public sector or a commercially driven / client focused Internal Audit, financial management, governance or assurance environment and working to quality / professional standards. Substantial experience of planning, prioritising, organising and managing a significant personal workload and that of staff under supervision. Experience of grasping the realities and complexities of the business and understand the implications of applying specialist knowledge. Experience in assimilating and conveying sensitive, complex and challenging information to a variety of audiences including those at the highest levels. Proven track record of leading and managing a team and delivering a high-quality service. Clear and concise understanding of risk management and corporate governance in a complex and changing environment. Experience of working to tight deadlines under pressure. Experience of presenting to Governance & Audit Committees on a regular and frequent basis. Experience of undertaking investigations. 	<ul style="list-style-type: none"> Experience of delivery of services to other organisations Experience of bidding for tenders to deliver services Senior local government experience 	Application form/Interview

		Essential	Desirable	Ascertained by
2.	Knowledge	<ul style="list-style-type: none"> • Good organisational, verbal/written communication skills. • Comprehensive knowledge and understanding of the PSIAS, audit techniques, practices, procedures and statutory regulations and their application. • Comprehensive knowledge of relevant legislation and policies associated with controls, risk management and governance processes in local government. • Comprehensive knowledge and understanding of systems of internal control, risk management and governance processes as well as knowledge of modern internal auditing methodologies. • An excellent working knowledge of IT office systems such as Microsoft Office • Knowledge and understanding of the principles of the General Data Protection Regulations(GDPR). 	<ul style="list-style-type: none"> • Knowledge and understanding of current local government issues 	Application form/Interview
3.	Skills and aptitudes	<ul style="list-style-type: none"> • The ability to successfully manage strategic service delivery at a senior level. • Proven ability to drive and deliver targets • Strong interpersonal skills and personal credibility • Able to communicate effectively (both orally and in writing) and convincingly at senior officer and member levels, engaging and enthusing management and convincing them of the value of internal audit work. • Ability to manage and organise workload. • The ability to analyse and review service objectives and policies. • Excellent leadership qualities. • 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. • Ability to demonstrate maturity and discretion in relation to sensitive issues. • Able to lead employees and motivate them towards achieving high standards of audit delivery. • Able to use judgement in order to ensure the right balance of risk and control whilst delivering a demanding workload within tight timescales and to a high standard. 	<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/

		Essential	Desirable	Ascertained by
4.	Qualifications and training	<ul style="list-style-type: none"> • CCAB qualified (preferably CIPFA) or Full CMIIA with at least five years post qualification experience. • Evidence of continuing professional development (attendance at relevant courses, seminars etc.). 		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. • A positive attitude towards the quality of work produced. • Promote a positive image of Internal Audit and where appropriate of the Council. • A friendly and approachable style of working. • 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. • Clean driving Licence and access to a car to drive/travel throughout the Vale of Glamorgan, Bridgend, Merthyr Tydfil and Rhondda Cynon Taf Councils and any other clients, or between locations as appropriate. 	<ul style="list-style-type: none"> • Ability to speak / learn Welsh 	Application form/Interview