

Meeting of:	Senior Management Appointment Committee
Date of Meeting:	Friday, 20 January 2023
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 ask the Committee to identify and confirm (following interview) a suitable candidate for appointment for the post of Head of Regional Internal Audit Service
Report Owner:	M Bowmer, Head of Finance - Tel 01446 709254
Responsible Officer:	M Bowmer, Head of Finance - Tel 01446 709254
Elected Member and Officer Consultation:	Richard Price – Principal Lawyer
Policy Framework:	The final decision of the Senior Management Appointments Committee will be referred for information to Council.
<p>Executive Summary:</p> <ul style="list-style-type: none"> • This report sets out the final interview schedule for the above position. • Members are asked to identify and confirm (following interview) a suitable candidate for appointment. • A separate Part II report has been provided containing details of the shortlisted applicants at the Final Interview Stage including Application forms. 	

Recommendations

1. To conduct interviews on Friday 20th January 2023 in relation to the post of Head of Regional Internal Audit Service and to make a final determination to appoint a suitable candidate.
2. To delegate residual appointment details, as appropriate, to the Head of Finance, if a suitable applicant is confirmed by members.

Reasons for Recommendations

1. To ensure an appointment to the post is conducted in accordance with the Council's constitution.
2. To ensure that all Council functions are met within this area.

1. Background

- 1.1 The Senior Management Appointment Committee met on Thursday 3rd November 2022 and approved the arrangements to fill the position of Head of Regional Internal Audit Service.
- 1.2 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.
- 1.3 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.
- 1.4 Members will recall that 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) considered 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.
- 1.5 The Job Description and Person Specification can be seen in Appendix A.

2. Key Issues for Consideration

- 2.1 In accordance with the prior approval of the Committee the post was advertised externally from 8th November 2022 to 29th November 2022.

- 2.2 An assessment process was conducted on 20th December 2022 which included psychometric testing, an e-tray exercise, technical interview and presentation involving colleagues from all 4 Local Authorities.
- 2.3 The Head of Finance, in consultation with colleagues also involved in that assessment, has identified candidate (s) that will be invited to the final interview stage with members. The details of those candidates are included in Part II of this report along with the application forms.
- 2.4 At the final interview stage, it is suggested that Members of this Committee interview the short-listed applicant (s) and that Members then determine if any candidate is suitable for appointment to the post.
- 2.5 A list of the suggested questions and presentation topic will be circulated for consideration and determination by Members.
- 2.6 Interviews will be conducted under "Part II" provisions of Access to Information legislation.
- 2.7 Assessment forms will be provided at the Final Interview for Members to complete as part of the assessment.
- 2.8 Members are asked to delegate residual appointment details, as appropriate, to the Director of Social Services if a suitable applicant is confirmed by members.

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

- 3.1 This recruitment and 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 Climate Change and Nature Implications as a direct result of this report.

5. Resources and Legal Considerations

Financial

- 5.1 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 £75,117 and £83,250.

Employment

- 5.2 There are no employment issues.

Legal (Including Equalities)

- 5.3** This recruitment process is compliant with Local Government, Employment and Equalities legislation.
- 5.4** 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 Service JD and PS



Head of Regional Internal Audit Service Job Description

Post Title:	Head of Regional Internal Audit Service
Post Number:	W-RM-AU001
Department:	Finance/Corporate Resources
Division:	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.*

- To lead the Regional Internal Audit Shared Service and play a leading role in the Regional Internal Audit Service Senior Management Team.
- 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.
- 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.
- Work closely with both Lay & Elected Members of the Governance & Audit Committees of each Council, in particular the Chairs and Vice Chairs.
- Develop and maintain excellent working relationships with Senior Officers, Councillors and Lay Members of each Council and their External Auditors.



Head of Regional Internal Audit Service Job Description (continued)

- 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.

● Main Duties and Responsibilities:

- 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.



Head of Regional Internal Audit Service Job Description (continued)

- 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 Councils 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.



Head of Regional Internal Audit Service

Person Specification

	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 and 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 	<ul style="list-style-type: none"> ● Application form ● Interview
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. 	<ul style="list-style-type: none"> ● Knowledge and understanding of current local government issues. 	<ul style="list-style-type: none"> ● Application form ● Interview

Head of Regional Internal Audit Service Person Specification (continued)

	ESSENTIAL	DESIRABLE	ASCERTAINED BY
	<ul style="list-style-type: none"> ● 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). 		
3. Skills & 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. 	<ul style="list-style-type: none"> ● Application form ● Interview
4. Qualifications & 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.). 		<ul style="list-style-type: none"> ● Application Form ● Certificates ● References



Head of Regional Internal Audit Service Person Specification (continued)

	ESSENTIAL	DESIRABLE	ASCERTAINED BY
5. Attitude & 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. 		<ul style="list-style-type: none"> ● Application form ● Interview
6. Other	<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 	<ul style="list-style-type: none"> ● Application form ● Interview