Job Description

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| **Job Title** | Head of Risk and Compliance |
| **Grade** | EPO25 |
| **Reporting To** | Assistant Director - Finance |
| **JD Ref** | CSUP0192P |

Purpose

To lead and develop the Council’s Risk & Compliance function and in doing so be the senior responsible officer for evaluating the effectiveness of governance, risk management, insurance, internal control and health and safety arrangements across the Council in addition to proactively promoting good corporate governance.

The role holder will provide independent, objective assurance and advice that is designed to add value and improve the Council’s operations. They will be responsible for ensuring that the Risk & Compliance function delivers a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes in order to assist in the accomplishment of Council objectives by producing and implementing a robust service plan that ensures implementation of key service and performance objectives for the Internal Audit, Counter Fraud, Insurance, Risk and Business Continuity, and Health and Safety teams on behalf of the Finance Directorate and the wider organisation.

Responsibility for the compilation and delivery of the Council Audit Plan will be a key aspect of the role – ensuring planned audits are completed alongside investigations and/or additional audits identified in any financial year. Influencing other senior officers will be a key component of the role, to ensure that agreed management actions that stem from audit recommendations are delivered in a timely manner via the provision of advice and strategic insights whilst ensuring the integrity, efficiency and effectiveness of the service is maintained.

The post holder must lead by example in modelling and embedding the Council’s values and behaviours to help build a sustainable, highly effective organisation that delivers good value for its residents. Provide outstanding leadership and direction to the service, driving service transformation and ensuring excellent joint working with Members and other stakeholders.

Main Duties And Responsibilities

**Behavioural:**

* Enjoy, achieve, create impact, and thrive in the role and organisation.
* Live our values and leadership behaviours in the role and organisation.
* Foster a culture of integrity, collaboration, and high standards across the Risk and Compliance Unit. Conduct high profile audits and investigations, liaising with police and other internal and external agencies as appropriate.
* Model and showcase behaviour that demonstrates awareness of, and compliance with, Council procedures and relevant statutory guidance in order to embed a culture within the organisation that is cognisant of the importance of applying actions that minimise and effectively manages risk both generally and with specific reference to health and safety, business continuity and potential for fraud.
* Demonstrate strong leadership behaviours for the Risk and Compliance team – igniting ideas, inspiring action and commanding respect, while delivering calm and controlled engagement with peers and Members – in order to significantly raise the profile of risk management in the Council and deliver corporate gravitas to the risk management agenda.
* Ensure that there are adequate arrangements in place to effectively manage the Council’s risk exposure, inclusive of insurance cover, and claim handling responsibilities.
* To provide assurance on the arrangements in place for the proper administration of the authority’s financial affairs and development of an annual risk-based audit plan in order to deliver an annual Internal Audit opinion in line with the Public Sector Internal Audit Standards.
* Demonstrate an understanding of the complexities of a political environment and use this to build credibility and manage relationships with elected members by successfully advising and supporting them.

**Team Leadership and Management:**

* Provide strong leadership, strengthening engagement, growth, culture, innovation, collaboration and performance.
* Assign responsibilities, setting clear expectations, and deliverables to team members and empower them to excel in their roles.
* Through continuous improvement strengthen the tools, practices and impact of the service.
* Manage, support, and develop direct reports in order that their teams add value to the Council’s operations and the pursuit of continual improvement.
* Be a vocal and visible leader who champions best practice in governance and gives an informed opinion on responses to emerging risks and proposed developments.
* Responsible for the appointment of staff, development of terms of reference and policies and procedure that will affect operations across the Council.
* Implement and lead a team structure that delivers the internal auditing standards issued under the authority of the Relevant Internal Audit Standard Setters (RIASS).
* Identify the training needs of all staff so that effective training plans and budgets can be prepared, monitored and managed.
* Be responsible for the function’s budget, ensuring that financial monitoring is undertaken in line with the organisation’s requirements and reporting timelines.
* Be the lead in developing and managing the numerous functional areas that combine to create the Risk and Compliance team, ensuring there are effective systems and recorded working practices in operation which produce a high-achieving team in respect of delivering on its corporate objectives.
* Deliver a highly professional, independent and adequately resourced team, in line with budget parameters, that satisfies internal and external requirements in respect of internal audit and risk management services, including health and safety compliance, in a manner that facilitates an oversight on risk to effectively inform internal audit plans.
* Sets clear objectives linked to priorities.

**Communication, Engagement and Training:**

* Responsible for the preparation and presentation of Committee reports, including the presentation of reports to Audit & Risk Management Committee (ARMC).
* Responding to Member’s questions.
* Responsible for the preparation and presentation of results and findings, in a format suitable for the intended audience, which will influence the corporate governance of the Council. In doing so, operate in a complex environment where maintaining independence is key, whilst being mindful of the Council’s reputation as such reports are subject to public interest and interest by Members.
* Communicate effectively with key stakeholders, including elected members, senior officers, and external partners, to ensure alignment on risk and compliance matters.
* Ensure that resources and arrangements are in place to develop and deliver training and awareness programs for staff at all levels on risk management, fraud prevention, business continuity, and health and safety.
* Act as a trusted advisor to the Assistant Director of Finance and other senior leaders, providing clear and actionable insights.
* Engage in appropriate professional networks to ensure the function and wider Council learns from others, developing new ideas from this engagement that will benefit the organisation.

**Data Analysis and Decision-Making:**

* Objectively assess the adequacy and effectiveness of governance and management of risks, giving an evidence-based opinion on all aspects of governance, risk management and internal control.
* Be responsible for the development and maintenance of a comprehensive risk register and ensure data-driven decision-making is undertaken to mitigate risks effectively.
* Analyse audit findings, compliance metrics, insurance data and health and safety reports to identify trends and recommend strategies for improvement.
* Use robust data analysis to assess organisational resilience and recommend actions to address emerging risks.

**Performance Management:**

* Be responsible for an independent assessment of how the review of governance effectiveness has been undertaken across the Council, what issues and improvements have been identified and that effective actions have been identified and delivered.
* Accountable for improving and developing risk processes and risk management platforms and contingency arrangements to manage, analyse and report risks to the relevant stakeholders.
* Act as the senior responsible officer for ensuring that agreed audit recommendations are attended to in a timely manner, and in doing so ensure that deadlines are clearly articulated to the relevant management teams and follow-ups undertaken to gain assurance that positive change has been enacted.
* In instances of poor performance within the function, implement necessary review and improvement arrangements.
* Implement and monitor a ‘plan, do, check, act approach’ for health and safety performance management purposes, by setting the direction for health and safety oversight, delivering effective management systems, monitor and report on performance, and review said performance to determine guidance and training to be put in place to support the entire organisation.
* Set and deliver on measurable performance objectives for the Risk and Compliance Unit and regularly review progress.
* Provide visibility, through reports and briefings, into the effectiveness of risk, compliance, and audit activities.
* Ensure that performance outcomes align with the Council’s strategic goals and statutory responsibilities.

**Compliance:**

* Ensure that all service initiatives adhere to relevant legislation, policies and practices.
* Act as the lead officer responsible for ensuring that the Council operates in a manner that is commensurate with and mindful of the need to comply with all relevant corporate policies and procedures and put mechanisms in place to highlight instances of non-compliance with the aim of delivering rapid organisational improvement where necessary.
* Adhere to and comply with all relevant corporate policies and procedures including Health & Safety, General Data Protection Regulations (GDPR), Corporate Governance and Code of Conduct.
* Comply with statutory legislation and best professional practice.
* Be the senior responsible officer for maintaining the organisation’s compliance with statutory insurance requirements and adequate resources are available to deliver claims management processes.

**Other:**

* Actively manage contracts within the functional area, ensuring that contracts are let within agreed timescales and that opportunities for efficiencies are identified and implemented.
* Any other duties commensurate with the grade.

Role Specific Knowledge, Experience And Skills

**Qualifications**

Essential criteria:

* Membership of a recognised professional accounting body or internal auditing body or overseas equivalent, for example CIIA, CIPFA, ACA, CIMA, ICAEW as a qualified member in an appropriate professional qualification such as a chartered accountant or chartered internal auditor and/or Chartered Member of Institution of Occupational Safety And Health (IOSH)
* An expert in current audit and management practices as evidenced by maintaining the appropriate continuing profession development requirements of the professional institute to which you are a member of.

*Desirable criteria:*

* Master’s degree in a related field.
* Accreditation in risk management, internal audit, or business continuity planning.
* A member of the Chartered Institute of Internal Auditors “Audit Leaders” community.
* National Examination Board in Occupational Safety and Health (NEBOSH) qualifications

**Knowledge & Skills**

Essential criteria:

* Excellent communication skills to engage with a broad range of stakeholders, including but not limited to report writing and identifying key themes from multiple sources.
* Proactive and adaptable, with a demonstrated ability to lead and motivate teams.
* Strong technical skills, including a deep understanding of auditing standards and regulations.
* The ability to influence senior officers to ensure that agreed management actions that stem from audit recommendations are delivered in a timely manner via the provision of advice and strategic insights whilst ensuring the integrity, efficiency and effectiveness of the service is maintained.
* Proactive nature with the ability to work independently and as a member of a team.
* Demonstrable ability to react to organisation-wide activity in the development of a team focussed on risk/compliance activity, and in doing so account for relevant external environmental factors, to identify implications for the service.
* Long term planning skills to address organisational resilience to risk, including health and safety matters and ensure that ongoing insurance coverage is maintained.
* Strong understanding of public sector governance and accountability frameworks.

*Desirable criteria:*

* Familiarity with new and emerging risk management and compliance technologies.
* Knowledge of new and emerging financial technologies and processes.

**Experience**

Essential criteria:

* Significant experience in the management of an Internal Audit service in a large complex organisation, which includes investigation experience relevant to Internal Audit.
* Proven ability to work to tight deadlines, effectively prioritising and managing stakeholders across multiple workstreams.
* Experience in creation and management of high-level, trust-based partnerships across the organisation.
* Substantial experience in risk management and risk management/compliance framework design and implementation.
* Experience of delivering improved control environments and a value-added approach to improving an organisation’s governance arrangements and risk management protocols.
* Proven track record in managing multidisciplinary teams and delivering organisational improvements.

*Desirable criteria:*

* Experience leading successful organisational responses to major incidents

Additional Information

Ability to travel across the Borough and work from various locations.

Work hybrid, with a flexible working approach to accommodate service needs.

Expected to work from a fixed location at times (subject to change).

On occasion, able to work outside traditional hours, of a weekend and evening as required, adopting a flexible working approach in response to business requirements.

Health & Safety Considerations:

* Lone working
* Working outside
* Work with VDUs (Video Display Unit) (>5hrs per week)
* Exposure to persons with challenging or aggressive behaviour

Approved By: Dan Kirwan

Date Of Approval: 19/03/2025