



ROLE PROFILE

Role Title:	Corporate Compliance and Governance Manager
Service:	Corporate Compliance & Governance Service
Directorate:	Legal & Democratic Services
Accountable to:	Chief Legal and Democratic Services Manager
Grade:	SM2
Car Category:	Casual
Work Style:	Flexible Office Based Worker

Purpose of role

- To lead on Corporate Governance compliance for the Council, ensuring that policy, structures and operational processes are in accordance with best practice and the CIPFA Delivering Good Governance in Local Government Framework.
- To lead, plan and deliver an effective Internal Audit Service which evaluates the effectiveness of the Council's risk management, control and governance processes in accordance with the Accounts and Audit Regulations and Global Internal Audit Standards.
- To lead the Council's corporate Risk Management and Insurance Service ensuring the Risk Management Framework is embedded across the organisation.
- To lead the Council's Information Governance Service to ensure all statutory and regulatory requirements are complied with organisationally.
- To ensure a proactive, transparent and intelligence-led approach to information governance.





Key Objectives

1	Responsibility for all aspects of the planning, management, administration and monitoring of the Internal Audit Service, including maintaining appropriate performance indicators and management of the section's budget.
2	To lead on the production, co-ordination and presentation of reports for Council, Policy & Resources Committee, and the Audit and Governance Committee in relation to Audit, Information Governance, Risk Management and Insurance.
3	Responsibility for maintaining a framework of procedures to guide the work of the services, maintain progress against the audit plan and ensuring quality assurance processes operate effectively.
4	To drive an on-going staff development programme to ensure that work is consistently carried out in accordance with appropriate professional standards, to promote continuous service improvement and achievement of corporate and service objectives.
5	Lead on the development of a risk-based plan setting out internal audit's priorities which is consistent with the Council's goals and the requirement to produce an annual audit opinion.
6	Responsibility for ensuring that performance is managed across all teams and progress reported against plans and targets set.
7	To report on any significant issues arising in relation to risks and controls in accordance with established policies and procedures as and when necessary.
8.	Monitor and report to Management and Audit & Governance Committee on the implementation of Internal Audit Recommendations.
9	To lead and co-ordinate investigations of suspected fraud or irregularity in accordance with legislation and the Council's established policies and procedures.
10	To act as an officer designated as a contact for guidance and advice under the Council's Whistleblowing Code.





11	To act as the Council's Money Laundering Reporting Officer in relation to the Money Laundering Regulations 2017.
12	Lead responsibility for ensuring compliance with the Global Internal Audit Standards and other statutory requirements.
13	To plan, manage and ensure delivery of consultancy activity in consultation with the Chief Legal Democratic Service Manager (Monitoring Officer) and Corporate Management Team as appropriate.
14	To lead on the maintenance and development of a cost effective and high-quality insurance service for the Council and ensure that appropriate insurance advice is provided to Officers and Members.
15	To lead on the procurement of the Councils Insurance Cover arrangements and ensure that there is appropriate cover in place for the Council.
16	To lead the Council's corporate Risk Management Service ensuring the Risk Management Framework is up to date and embedded across the organisation.
17	To provide visible leadership for staff in conduct and behaviour, promoting a culture of seeking excellence in quality and value for money of service provision.
18	To assist the Chief Legal and Democratic Services Manager (Monitoring Officer) in ensuring that procedures in relation to Audit, Procurement , Risk Management and Insurance are effective in supporting the delivery of effective and efficient services and in fulfilling the requirements for financial probity, corporate compliance and accountability.
19	To liaise with external agencies such as the Police and Government agencies relevant to Corporate Compliance, and to form positive and collaborative partnerships with external stakeholders.
20.	To ensure that the Council meets its statutory responsibilities and customer expectations with regard to data and information.



Scope

The post holder works as part of Legal and Democratic Services to lead the Council's Internal Audit, Information Governance and Risk Management and Insurance Services.

The post holder will have contact with other members of the team, service managers from across the organisation, senior managers, partner agencies, members of the public and Elected Members and will answer queries in a professional manner.

Work Profile

1. Strategy

The post holder will take the lead role in developing, implementing and reviewing strategies for the services that fall within their remit. This will include the responsibility for the development, monitoring, reviewing and implementation of the Internal Audit Plan, Information Governance Plan, Risk Management and Insurance Plan. Their role will contribute to the achievement of the Council's Corporate Plan.

2. Performance

The post holder will be directly accountable to the Chief Legal and Democratic Services Manager (Monitoring Officer) for the performance of the services within their remit. They will take a proactive and solution-focused approach in managing underperformance of individuals, teams or whole services. They will contribute to the overall financial and service performance of the organisation through their role.

The post holder will ensure the role and responsibilities of the service are carried out and developed satisfactorily. This includes ensuring that the Council policies and decisions are implemented correctly, having due regard to the financial regulations, procurement procedures and standing orders of the Council, and ensuring that statutory requirements are met.

They will monitor vehicles, material, products, techniques and equipment in the post holder's services.





They will regularly monitor the relevant services' work programmes, performance indicators and take necessary action to ensure the Service meets agreed outcomes. They will ensure the effective development and use of service business plans, performance appraisal and team briefings.

3. Service Quality

The post holder will make recommendations for policy and procedural changes etc across the Council and ensure that decisions are implemented correctly, that all necessary approvals are obtained, and that projects are carried out satisfactorily having regard to the need to engage, VFM and standing orders.

They will comply with the operating procedural requirements, maintaining, reviewing, developing and improving the services procedures, and monitoring performance output against indicators.

They will promote and maintain professional standard in the work of staff within the Service.

They will be aware of and keep up to date with all relevant developments in relation to the work of the Service, the Council and Local Government.

4. Resource Management

The post holder will be responsible for the effective management of budgets associated with the areas under their direct control.

The post holder will ensure the appropriate use of vehicles, equipment and personal protective equipment provided to them, in order to undertake their own role.

5. Supervision and Management

The post holder will have line management responsibility for direct reports within their services including Internal Audit, Information Governance, Risk Management and Insurance.

They are responsible and accountable for their services' budgets, and for the equipment and machinery used by their teams.





6. Culture

The post holder will support the development of a positive organisational culture that is outward looking, evidence based and customer focused.

The post holder will promote equality of opportunity in the delivery of the duties of the role.

7. Communications

The post holder will be expected to communicate professionally and effectively with those contacting the service.

The post holder will be expected to present the results from work carried out by Corporate Compliance and Governance Services and provide relevant advice and information to Service managers, Directors/Assistant Directors, Deputy Chief Executive, Chief Executive and elected members.

8. Main Contacts Associated with Principal Duties

The post holder will be in regular contact with their immediate teams, other Service Managers and their teams, Directors/Assistant Directors, the Chief Executive, Elected Members, members of the public and partner agencies.

9. Commitment

The Council's normal working week for the purposes of calculation of premium rates and enhancements is Monday to Friday 7 am to 7 pm. The Councils operates a standard working week of 36 hours.

10. Risk Management

The post holder will identify any risks that they encounter during the execution of their role and report these to their line manager promptly.

11. Working conditions

The post holder may be in contact with members of the public or cases that are difficult and require sensitivity, confidentiality and discretion. They may also be in receipt of sensitive data and information in the course of carrying





out their duties and will be expected to fully comply with legal requirements and Council policy, in the handling of this.

12. Equal Opportunities

The Council is committed to achieving equality of opportunity both in the delivery of services to the community and its employment arrangements. We expect all employees to understand and promote our policies in their work.

13. Customer Focus:

To meet the Council's Standards of Customer Care at all times.

14. Core Tasks

To undertake any other duties which may be required within the needs of the service that are commensurate with the grade.

15. Health & Safety

All employees have a responsibility for their own health & safety and that of others while undertaking their duties. Employees have a general duty to assist the Council in implementing its general statement on health & safety policy.

16. Legislation

To comply with Data Protection legislation and all other relevant and applicable statutory legislation together with Council policies and procedures.

To comply with the Global Internal Audit Standards and all other relevant and applicable Internal Audit legislation.

17. Training & Development

To comply with the Council's policies and practices relating to training and development, including a regular development appraisal.

18. I.T.

The post holder is expected to comply with the Council's policies and practices relating to use of I.T. and equipment.





19. Creativity

The post holder is expected to generate ideas and concepts relating to service improvements to enhance the customer experience. They will be solutions-focused and able to work with services, constructively challenging historic practices whilst keeping them engaged in change. They will be expected to refer to the Executive Management Team routinely and prior to implementing key changes.

20. Decisions and Consequences

The post holder will generate ideas and suggestions for consideration by the Executive Management Team. They will be at the forefront of organisational change in relation to the customer experience and will need to exercise diplomacy, sensitivity and discretion to avoid reputational damage to the Council, or breaches of confidential data.

21. Work Context

The post holder will perform a key role in developing and strengthening the Internal Audit, Procurement, Risk Management and Insurance and Information Governance teams to improve customers' experience. In doing so, they will work collaboratively across the whole organisation and with all levels of staff.

22. Physical Demands

It is not anticipated that there would be any physical demands of the job over and above those expected for office-based work.

23. Political Restrictions

This is a politically restricted post (see Section 2 Local Government and Housing Act 1989)





PERSON SPECIFICATION

In this section the Skills, Knowledge, Qualification and Competency requirements to perform the role to a satisfactory standard are set out. The extent, nature and level of the role holder's knowledge and skills should be specified

PERSON SPECIFICATION	Examples specific to role	Required		Method of Assessment Application (A) Interview (I), Testing (T), Reference (R) Presentation (P)
		Essential	Desirable	
SKILLS AND KNOWLEDGE Technical knowledge and qualifications	Hold a relevant professional qualification e.g. CMIIA, CCAB or equivalent	X		A
	Fraud practitioner qualification		X	A
	Insurance qualification		X	A
	Risk Management qualification		X	A
	Procurement qualification		X	A
	Significant history of successful delivery of audit services and audit management	X		A, I, P
	Strong track record of securing improvement through the work of internal audit	X		A, I, P
	Evidence of continuous professional development	X		A, I
	Experience of working in internal audit in a public sector organisation	X		A, I
	Experience of using data mining, analysis and reporting tools.		X	A, I





	<p>Practical experience of investigating fraud and disciplinary matters.</p> <p>Good understanding and knowledge of corporate governance concepts and principles</p> <p>Knowledge of current practice in risk management</p> <p>Knowledge of commissioning / tendering processes in a public sector organisation</p> <p>Understanding of key Insurance concepts and how to apply them in a large and diverse organisation.</p> <p>A strong commitment to the promotion of internal audit as a means of securing continuous improvement in the Council</p> <p>Ability to use computerised systems e.g. Microsoft Office, email, internet, Excel</p>	<p>X</p> <p>X</p> <p></p> <p></p> <p></p> <p>X</p> <p>X</p>	<p></p> <p></p> <p></p> <p>X</p> <p>X</p> <p></p> <p></p>	<p>A, I</p> <p>A, I</p> <p>A, I</p> <p>A, I</p> <p>A, I</p> <p>A, I</p> <p>A, I</p>
Planning and organising work	<p>Methodical, well organised, excellent time management and organisational skills with ability to work on own initiative with a commitment to providing a quality service and attention to detail.</p> <p>Ability to prioritise own workload, work under pressure and meet multiple conflicting deadlines</p> <p>Ability to lead a team and line manage others, with effective resource planning skills</p>	<p>X</p> <p>X</p> <p>X</p>	<p></p> <p></p> <p></p>	<p>A, I</p> <p>A, I</p> <p>A, I</p>





	Able to work in a pressurised and politically sensitive environment and manage competing priorities	X		A, I
Planning capacity and resources	Experience of supervising, training, motivation and organisation of team members	X		A, I
	Ability to lead, manage and motivate large teams, utilising a flexible and resilient approach to workforce planning to ensure that performance targets are met or exceeded	X		A, I
	Able to manage budgets	X		A, I
	Planning for long-term projects & deliverables	X		A, I
Influencing and interpersonal skills	Be an excellent verbal and written communicator with the necessary skills and experience to write complex reports and represent the Council at public meetings	X		A, I
	Strong interpersonal skills including the ability to deal with Councillors, Senior Management, auditees, members of the public and officers from partner organisations in a professional manner	X		A, I
	Ability to think strategically and creatively to analyse complex problems and provide effective and innovative solutions to them	X		A, I
PROBLEM-SOLVING Using initiative to overcome problems	Proven success in maximising outcomes and the efficiency of services, ensuring that they add value, are fit for purpose, cost effective and provide value for money.	X		A, I





	<p>Ability to work strategically and operationally, to identify a range of appropriate solutions to issues and problems.</p> <p>Proven ability to encourage innovation, efficiency, continuous improvement and a culture that reflects the values and goals of the Council</p> <p>Ability to work interactively and effectively with other teams to drive performance.</p>	X		A, I
		X		A, I
		X		A, I
Managing risk	<p>Ability to consider and assess risks associated with the services and the Council's wider operations, undertaking risk assessments as required.</p> <p>Ability to identify mitigating measures that may be implemented to minimise risk</p>	X		A, I
		X		A, I
Managing change	<p>Experience in dealing with complex situational change and be capable of managing ongoing change.</p> <p>Ability to review team performance along with wider service performance and seek to continuously improve through implementation of changes on a regular basis.</p> <p>Ability to lead, manage and promote change in a positive manner to others</p>	X		A, I
		X		A, I
		X		A, I
ACCOUNTABILITY and RESPONSIBILITY	<p>Ability to work independently and take ownership of key responsibilities of the post</p>	X		A, I
Undertakes tasks without supervision				





Other	Commitment to Equality	X		A, I
	Commitment to Health & Safety	X		A, I
	Satisfactory Baseline Personnel Security Standard Check	X		Document Checks (includes Basic DBS)
	The ability to fulfil all spoken aspects of the role with confidence through the medium of English language. This includes the ability to converse with ease with customers and colleagues and provide advice in accurate spoken English	X		I
	Ability to attend other workplaces within the Borough	X		A, I
	Flexibility to attend evening Committee meetings if required	X		A, I

COMPETENCIES REQUIRED – All post holders must be able to comply with the Council's Expected Behavioural Standards which include:

- Putting customers first;
- Being positive and adaptable;
- Taking responsibility and achieving results;
- Working together;
- We do what we say we will do when we say we will do it.

In addition, for those posts with management responsibilities the Expected Behavioural Standards will include:

- Service delivery and change management;
- Financial and resource management;
- Leading, motivating and developing.

Other information

- able to travel to meet service delivery requirements
- available to undertake work outside of normal working hours





Signed Line Manager	Signed Director/Assistant Director	
		22/03/2025
Print Line Manager	Print Director/Assistant Director	Date

