



# Member of the DHSC Audit and Risk Committee

## Information pack for applicants

**Closing date: 17:00 on Friday 6 September 2019**  
**Reference no: VAC-ARC2019**



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# Section 1 – The Role

## 1.1 Role and Responsibilities of a Member of the DHSC Audit and Risk Committee

### Introduction

The Department of Health and Social Care is seeking to make one appointment to the DHSC board of its Audit and Risk Committee.

### Role and Responsibilities of a Member

The Department of Health and Social Care (DHSC) is seeking to appoint a member of its Audit and Risk Committee. As a member, the successful candidate will provide external advice and expertise, underpinned by consideration from an independent standpoint, which will inform the Department's decision-making and governance processes.

The successful candidate will be required to think strategically and have the ability to positively and constructively influence decisions at a senior level. They will be expected to establish consultative relationships with a diverse range of stakeholders including Internal Audit, the National Audit Office and DHSC's Arm's Length Bodies (ALBs).

The Independent Member will:

- Sit on the DHSC Audit and Risk Committee, chaired by Gerry Murphy who also sits on DHSC's Departmental Board.
- Have a good understanding of governance, risk and control, with specific experience of accounting and financial management.
- Assist the committee to deliver on its agreed Terms of Reference, which includes the scrutiny of DHSC's Annual Report and Accounts.
- Have broad experience of change in large organisations and the ability to grasp complex issues very quickly.
- Advise on performance and transformation, operational issues and the effective management of the Department.
- Provide independent scrutiny for the Department upon request.
- Advise on cross-government initiatives and policies.
- Work with executives and their offices to continue to improve Departmental performance.
- Have the financial acumen to ensure that Departmental finances are managed properly.
- Bring commercial experience and expertise to the role – to be able to constructively challenge the committee on issues pertaining to development of strategy and risks to its delivery.
- Have the professional credibility and authority to challenge DHSC leaders.

## Qualities required for the role of a Member

The Department of Health and Social Care values and promotes diversity and encourages applications from all sections of the community. The boards of public bodies should reflect the population they are there to serve. Boards also benefit from fresh perspectives, and we are always keen to encourage candidates with private sector experience to consider applying for our roles.

## Person Specification

To be considered, you must be able to demonstrate that you have the qualities, skills and experience to meet all the essential criteria for appointment.

- An accountancy or auditing qualification, with associated professional membership.
- Proven leadership in large, complex organisations in the private, public or voluntary sectors, with main board-level experience as an executive or non-executive.
- Experience of risk, performance and financial management, and the ability to develop and review internal controls and risk management systems.
- An understanding of the importance of risk management and audit to good governance, and a record of achievement at a senior level in strategic financial management.
- Experience of leading major projects from initiation, through development and to delivery, using sound evidence to inform decisions.
- Sound judgement and a high level of integrity (including when dealing with confidential or sensitive issues) and a commitment to the seven principles of conduct in public life (<http://www.publicstandards.gov.uk/about-us/what-we-do/the-seven-principles>).
- Genuine interest in public service and the successful running of the Civil Service and the Department of Health and Social Care.

## Remuneration

- Remuneration is set at £5,000 per annum.
- Remuneration is taxable, and subject to National Insurance contributions, both of which will be deducted at source under PAYE before you are paid. Remuneration is not pensionable
- You may claim travel and subsistence expenses, which are properly and necessarily incurred in carrying out your role and responsibilities as a Member of the Audit and Risk Committee, in line with travel and subsistence policy and rates for the Audit and Risk Committee. A copy of the policy and rates can be obtained from the Audit and Risk Committee.

## **Time commitment**

The is a time requirement of up to 17 days by annum. This covers four full meetings per annum and two technical review meetings per annum. There is also an annual half-day event with the Audit Committee Chairs of the Arms' Length Bodies.

## **Location**

The Department of Health and Social Care's offices at 39 Victoria Street, London SW1H 0EU.

## **Tenure of office**

The Department of Health and Social Care's Senior Responsible Officer determines the length of the appointment will be up for three years with the option for a further three-year extension.

## **Accountability**

Members are appointed by the Permanent Secretary and are accountable to the Secretary of State for Health and Social Care via the Chair for carrying out their duties and for their performance.

For further information regarding the role of the Audit and Risk Committee and the role of a Member please contact Alexander Ord, Audit and Risk Committee Secretariat, at:

Email: [alexander.ord@dhsc.gov.uk](mailto:alexander.ord@dhsc.gov.uk)

Tel: 020 7210 6209

## 1.2 Audit and Risk Committee role and responsibilities

In order to fulfil its purpose, the Audit and Risk Committee will:

- Consider the high-level risk register and the quality of risk management within the Department.
- Review the Department's accounting policies, accounts, and annual report, including the process for review of the accounts prior to submission for audit, levels of error identified, key judgements, any disputes between management and external audit, and management's letter of representation to the external auditors.
- Lead the assessment of the risks facing the Department and ensure that the Department's risk management and internal control systems are effective, as part of preparations for the annual Governance Statement (which includes areas formerly covered by the statement on internal control) each year.
- Consider the audit strategies and audit plans of the Department's internal and external auditors.
- Consider the issues arising from the DHSC Group Accounts, including the external auditors' Management Letter to the Department and the adequacy of management's response to it.
- Evaluate the adequacy of management responses to issues identified by internal and external audit work.
- Consider the Department's Code of Business Conduct, in particular its policy on conflicts of interest, and its register of declared interests.
- Consider any proposals for tendering for audit services, or for purchase of non-audit services from contractors who provide audit services.
- Appraise anti-fraud policies, whistleblowing processes, and arrangements for special investigations
- Evaluate its own effectiveness.

# Section 2: How to Apply

## 2.1 Making an application

Thank you for your interest in the appointment of a Member to the Audit and Risk Committee. To make an application please email your CV, a supporting letter and completed monitoring forms to:

[alexander.ord@dhsc.gov.uk](mailto:alexander.ord@dhsc.gov.uk) – please quote ref: VAC-ARC2019 in the subject field.

If you are unable to apply by email you may send your application by post to:

Alexander Ord, Audit and Risk Committee Secretariat, Department of Health and Social Care, 8 Floor, 39 Victoria Street, London, SW1H 0EU.

Applications must be received by 17:00 on Friday 6 September 2019.

In making an application please note the following.

### Supporting letter

The Supporting Letter is your opportunity to demonstrate how you meet each of the criteria set out in the person specification. It will benefit the Advisory Assessment Panel if you can be clear which particular evidence you provide relates to which criteria. Providing separate paragraphs in relation to each criterion is common practice. Please write all acronyms in full first.

Please ensure your full name, the role to which you are applying and the corresponding reference number for the post are clearly noted at the top of your letter.

Please limit your letter to two pages, and type or write clearly in black ink.

### Conflicts of interest

If you have any business or personal interests that might be relevant to the work of Audit and Risk Committee, and which could lead to a real or perceived conflict of interest if you were to be appointed, please provide details in your Supporting Letter.

If appointed, you will also be required to declare these interests on appointment and they will be entered into a register which is available to the public.

## Standards in public life and ensuring public confidence

Given the nature of public appointments, it is important that those appointed as members of public bodies maintain the confidence of the public and Government. If there are any issues in your personal or professional history (including any convictions or bankruptcy) that could, if you were appointed, be misconstrued, cause embarrassment to Ministers or the Department of Health and Social Care or cause public confidence in the appointment to be jeopardised, it is important that you bring them to the attention of the Assessment Panel and provide details of the issue/s in your Supporting letter. In considering whether you wish to declare any issues, you should also reflect on any public statements you have made, including through social media and blogs. Due Diligence may be carried out on any publicly available information and shared with the Advisory Assessment Panel.

The panel may explore any issues you declare with you before they make a recommendation on the appointment.

Failure to disclose such information could result in an appointment being terminated, as those who hold public appointments are expected to demonstrate the highest standards of corporate and personal conduct, and are required to subscribe to the Code of Conduct for Board Members of Public Bodies, as part of agreeing to the terms and conditions of appointment. You can access this document at:

<https://www.gov.uk/government/publications/board-members-of-public-bodies-code-of-conduct>

There are also circumstances in which individuals may not be considered for appointment, due to them not meeting certain eligibility criteria for appointment. For further information, please refer to **Section 2.3: Eligibility Criteria** below.

If you wish to discuss any queries on conflicts, please see the contacts section.

## CV

Please ensure your CV includes:

- Your full name, title, home address, personal contact telephone numbers (land line and mobile), personal email address and details of any twitter accounts and LinkedIn accounts including your twitter handle/username.
- Similar contact details for two referees who will support your application. One referee should be the person to whom you are/were accountable in your current/most recent appointment or position of employment. Please indicate the relationship of each referee to you. References will be requested for short-listed candidates prior to interview

- Brief details of your current or most recent post and the dates you occupied this role. Please identify any past or present Ministerial appointments.

## **Monitoring form**

Please complete the monitoring form. Diversity monitoring information will not be seen by the Advisory Assessment Panel assessing your application.

Political activity information is primarily for monitoring purposes only, however if you are shortlisted for interview, this information will be shared with the selection panel. The reason for this is that it is appreciated that such activities may have given you relevant skills, including experience gained from committee work, collective decision-making, resolving conflict and public speaking. If you have had such experience and you consider it relevant to your application for this post, you should also take the opportunity to include it separately in your supporting statement. If possible, you should not, however, identify the relevant political party in your statement.

## **Guaranteed Interview Scheme**

The Department of Health and Social Care operates a Guaranteed Interview Scheme (GIS) for disabled people. The Equality Act 2010 defines a person as disabled if they have a physical or mental impairment and the impairment has a substantial and long-term adverse effect on their ability to carry out normal day to day activities. Under the GIS a disabled candidate will be selected for interview if they meet the essential criteria for the post.

If you wish to apply under the GIS, please complete the GIS form and return it with your application.

All applications will be acknowledged by email after the closing date.

For further information regarding the role of the Audit and Risk Committee, the role of a Member and the selection process please contact:

Alexander Ord, Audit and Risk Committee Secretariat

Tel: 020 7210 6209

Email: [alexander.ord@dhsc.gov.uk](mailto:alexander.ord@dhsc.gov.uk)

Please quote reference VAC-ARC2019 on all correspondence.

If you choose to apply, we would like to thank you in advance for your time and effort in making an application.

## 2.2 The Selection Process

The Department of Health and Social Care will deal with your application as quickly as possible and will advise you of the likely timetable at each stage.

Timetable:

- Closing date: 17:00 on Friday 6 September 2019
- Interviews held: w/c 30 September and 7 October 2019, dates TBC
- Appointment: October 2019

The selection panel will be:

- Gerry Murphy, Chair of the Audit and Risk Committee and Non-Executive Director of DHSC
- David Williams, Director General – Finance and Group Operations and Chief Operating Officer
- Mel Nebhrajani, Government Legal Department as an Independent Panel Member

The Independent Panel Member is independent of both the Department of Health and Social Care and Audit and Risk Committee.

After the closing date for applications:

- The Department of Health and Social Care may commission a pre-assessment of candidate applications which would then be provided to the Panel for consideration and to inform the shortlisting process. By submitting an application, you are agreeing to your application being shared with another party for the purpose of pre-assessment. The pre-assessor and the panel are reliant on the information you provide in your CV and supporting letter to assess whether you have the skills and experience required. Please ensure that you provide evidence to support how you meet all the essential criteria. It is the responsibility of the panel to determine who it believes best meet the criteria for the role, and who will be invited to interview.
- Interviews will be held in late September and early October 2019.
- The Advisory Assessment Panel will select for interview only the strongest applicants who it feels have demonstrated that they best meet the criteria set out in the person specification. However, if you have applied under the GIS and you meet all of the essential criteria, then you will also be invited for interview.

- If you are invited to interview and if you are unable to attend on the set date then an alternative date can only be offered at the discretion of the Advisory Assessment Panel.
- The Audit and Risk Committee Secretariat will email to let you know whether or not you have been invited to be interviewed. It is our intention that interviews will take place in a central London location.
- If invited to interview, the Advisory Assessment Panel may invite you to make a brief presentation at the start of the interview and will go on to question you about your skills and experience, including asking specific questions to assess whether you meet the criteria set out for the post.
- The Advisory Assessment Panel will also explore with candidates any potential conflicts of interest or any other issues arising from candidate's personal and professional history which may impact on an appointment decision (see section 2.1 for further details).
- Candidates who the panel believe are 'appointable', will be recommended to the Senior Responsible Officer who will make the final decision. The Senior Responsible Officer may choose to meet with shortlisted candidates, before or after interview, before making a decision. Candidates should therefore be prepared for a short time gap between interview and a final appointment decision being made. Candidates who have been interviewed will be kept informed of progress.
- If you are successful, you will receive a letter from the Senior Responsible Officer appointing you as a Member of the Audit and Risk Committee, which will confirm the terms on which the appointment is offered.
- If you are unsuccessful at interview, you will be notified by the Appointments Team. We appreciate it takes a lot of time and effort to apply for roles and that feedback is a valuable part of the process. As a result, the letter will provide the details of who you may approach for feedback on your interview and application, if you so wish.
- For further information on how we will manage the personal information that you have provided to us through your application, see **Section 2.4**.

## Queries

For queries about your application, please contact Alexander Ord at [alexander.ord@dhsc.gov.uk](mailto:alexander.ord@dhsc.gov.uk) or 020 7210 6209.

## **Standards in public life**

You will be expected to demonstrate high standards of corporate and personal conduct. All successful candidates will be asked to subscribe to the Code of Conduct for Board Members of Public Bodies, you can access this document at:

<https://www.gov.uk/government/publications/board-members-of-public-bodies-code-of-conduct>

## **Diversity and equality of opportunity**

The Department of Health and Social Care values and promotes diversity and encourage applications from all sections of the community.

## **Governance Code on Public Appointments**

The Governance Code on Public Appointments, published by the Cabinet Office, sets out the principles that should underpin all public appointments. The Governance Code can be found at <https://www.gov.uk/government/publications/governance-code-for-public-appointments>

## **If you are not completely satisfied**

The Department of Health and Social Care will aim to process all applications as quickly as possible and to treat all applicants with courtesy. If you have any complaints about the way your application has been handled, please contact Heather Chicken in the Department of Health and Social Care by emailing [Heather.Chicken@dhsc.gov.uk](mailto:Heather.Chicken@dhsc.gov.uk).

## 2.3 Eligibility Criteria

### Eligibility criteria

There are circumstances in which an individual may not be considered for appointment. They include:

1. Persons who have received a prison sentence or suspended sentence of 3 months or more in the last 5 years.
2. Persons who are the subject of a bankruptcy restrictions order or interim order, or a debt relief order or interim debt relief order under Schedule 4ZB to the Insolvency Act 1986.
3. Persons who have had an earlier term of appointment with a health service body terminated on the grounds:
  - a) That it was not conducive to the interests or good management of the body that the person should continue to hold office.
  - b) That the person failed to attend a meeting of the body on three consecutive occasions.
  - c) That the person failed to declare a pecuniary interest or withdraw from consideration of a matter in respect of which the person had a pecuniary interest.
  - d) Of misconduct or failure to carry out the person's duties.
4. Anyone who is under a disqualification order under the Company Directors Disqualification Act 1986.
5. Anyone who has been removed from trusteeship of a charity.

Further advice about the Eligibility Criteria can be provided by contacting Alexander Ord on 020 7210 6209 or email [alexander.ord@dhsc.gov.uk](mailto:alexander.ord@dhsc.gov.uk).

## 2.4 How we will manage your personal information

Your personal information will be held in accordance with the Data Protection Act 1998. You will not receive unsolicited paper or electronic mail as a result of sending the Department of Health and Social Care any personal information. No personal information will be passed on to third parties for commercial purposes.

When we ask you for personal information, we promise we will:

- Only ask for what we need, and not collect too much or irrelevant information.
- Ensure you know why we need it.
- Protect it and insofar as is possible, make sure nobody has access to it who should not.
- Ensure you know what choice you have about giving us information.
- Make sure we do not keep it longer than necessary.
- Only use your information for the purposes you have authorised.

We ask that you:

- Provide us with accurate information.
- Inform us as soon as possible of any changes or if you notice mistakes in the information we hold about you.

If you apply for a post, we will share some of the information you provide with the members of the selection panel for the post to which you are applying, so that your CV and supporting letter can be assessed.

The diversity information you provide will not be used in the selection process and will therefore not be shared with the Advisory Assessment Panel assessing your application at any stage. However, panels may review the political activity response at the interview stage. This in no way acts as a bar to appointment. Further information on this is provided in the attached Monitoring form.

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