

JOB DESCRIPTION June 2015

Service Area: Finance and Public Protection Audit & Risk	Is this description a generic JD? No
GRADE: 10	Job Reference No: 01607 Enhanced DBS Required? No
JOB TITLE: Principal Risk Officer	
REPORTS TO: Team Leader – Insurance and Risk	

<p>1</p>	<p>PURPOSE OF JOB:</p> <p>To support delivery of an effective audit and risk service to the Council.</p> <p>Work effectively in partnership with others to develop the collaborative / shared service aspects of the service e.g. Audit Lincolnshire Partnership.</p> <p>Assist the Team Leader – Insurance and Risk to drive forward the embedding of the Council’s Risk Management Strategy throughout the organisation, its activities, and its public and private partnerships.</p> <p>To actively support the Council’s key strategic Partnerships in the development and implementation of the risk management strategy (including business continuity) and associated plans.</p> <p>To contribute to the planning process in areas of assigned responsibility.</p> <p>To assist in the implementation of the council’s risk and audit strategy.</p> <p>Develop and maintain strong, positive working relationships across service areas, with providers and partners.</p> <p>To provide day to day leadership, advice and guidance - promoting the benefits of good governance, risk management and effective assurance throughout the organisation and external clients.</p> <p>Continuously look for synergies and efficiency savings across the audit and risk team – promoting best practice and embedding new ways of thinking and working.</p> <p>To take personal responsibility for contributing to organisational and service transformation and changes to ways of working - maximising the benefits for both internal and external customers.</p>
<p>2</p>	<p>MAIN RESPONSIBILITIES, TASKS & DUTIES</p>
<p>i</p>	<p>The specific accountabilities of this role will be flexible and will change to meet the needs of the organisation as required but will include (or be equivalent in nature to) those listed below:</p>

	<ul style="list-style-type: none"> • Providing day to day leadership as appropriate to deliver the agreed priorities working collaboratively with providers (including statutory and non-statutory partners) • Provide expert advice and guidance as appropriate for own area of expertise. • Deliver a personal portfolio of projects and/or specific work • Coach teams/colleagues as appropriate to embed new ways of thinking and working • Ensure effective performance review arrangements are followed to manage service delivery/contracts • Monitor service delivery against expected outcomes and proactively manage performance • Demonstration of the Council's Core Abilities (at the relevant level) <ul style="list-style-type: none"> ○ Personal Leadership <ul style="list-style-type: none"> ○ Being Future Focused ○ Political and Commercial Astuteness ○ Supporting a High Performing and Flexible Workforce ○ Drive for Results
ii	Assist with the implementation of audit, risk and counter fraud strategies and delivery plans to meet the Council's targets and objectives.
iii	Look to continuously improve services in area of responsibility, identifying where possible, value for money savings and managing within allocated budgets.
iv	Act as a role model to others helping them to manage uncertainty and to respond positively and creatively to changing expectations.
v	Ensure Council resources are optimised and utilised effectively and efficiently.
vi	Contribute to the development of individuals across the Council coaching, mentoring and motivating staff where appropriate to achieve performance excellence.
vii	Create a positive image of the County Council as an employee.
viii	Deliver excellent customer service, incorporating the Council's equality and diversity objectives and supporting the council to achieve best practice in all it delivers.
ix	Remain up to date and compliant with all relevant legislation, organisational procedures, policies and professional codes of conduct in order to uphold standards of best practice.
x	Monitor and review work plans, including agreed variations, directly and through allocated resources (permanent, temporary and / or contract staff) to agreed timetables, priorities and performance targets
xi	Control, implement and review allocated parts of the work plan, including agreed variations, to agreed timescales, priorities and performance standards.

xii	Assist in delivering the Council's Risk Management Strategy, structures, processes, plans and working practices to reflect best practice in strategic risk management.
xiii	Promote the strategy and plans with members and officers to build their understanding of, support for effective risk management as a means of improving the governance, performance and decision making of the Council.
xiv	Provide risk management advice and constructive challenge to members and officers as appropriate to support them and their activities at all stages of the risk management cycle, offering pragmatic solutions to

	overcoming internal and external barriers to change.
xv	Develop, deliver (where appropriate) and monitor effectiveness of training, guidance, toolkits and other resources designed to support officers' and members' learning and development on the subject of risk management.
xvi	In conjunction with the audit team, actively support strategic partnerships to embed risk management in their business processes, including: <ul style="list-style-type: none"> ○ Strategic planning ○ Financial planning ○ Policy making and review ○ Performance management ○ Seeking out positive risks (opportunities)
xvii	Provide assurance on the management of risk within strategic partnerships and report on the effectiveness of these arrangements.
xviii	Monitor the extent to which corporate strategies, standards and processes for the management of risk are being complied with across the Council's activities and in partnerships.
xix	Report to senior managers on progress in embedding risk management at the Council and in managing risk exposure, and provide input to the Council's corporate governance processes and assurance statements.
xx	Assist in the preparation of Audit Committee reports and DMT liaison briefings/reports to council management.
xxi	Maintain the Corporate Risk Register and obtain appropriate management assurances on existing and developing controls to manage risk effectively.
xxii	Scan operating environments and media channels for emerging risks and provide targeted information to relevant managers
xxiii	Attend and represent the Council at networking groups and peer review meetings
xxiv	Assist in the development of benchmarking information to measure the performance of the service
xxv	Interpret new best practice guidance and implement changes in policies procedures, toolkits etc, and governing risk management.

	xxvi	Provide peer support to the Risk Champion Network Group and organise a programme of learning and development opportunities to enhance their 'competence' in the role.
	xxvii	Liaise closely with the audit team to share information and knowledge on identified risk issues and initiate actions through appropriate audit mechanisms.
	xxiii	Assist Team Leader to ensure that team performance targets are met – motivating staff to achieve performance excellence
	xxix	Assist the Team Leader to develop and maintain the risk and audit strategy, structures, processes, plans and working practices to reflect best practice

3	<p>MANAGEMENT OF PEOPLE</p> <p>Responsible for the day to day management of 1 person.</p> <p>This includes:</p> <ul style="list-style-type: none"> • Performance and supervision through 1:1 etc • Dealing with their physical, mental and environmental needs as well as their personal and professional development requirement. This includes coaching and ensuring the resource is deployed effectively and efficiently (scheduling tasks & projects, travel, additional hours, attendance) 	
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	<ul style="list-style-type: none"> • Responsible for team performance, training and development. Continually monitor progress against objectives, targets, evaluating against service, team and individual plans. • Assist in coordinating resources and delivery for multiple clients e.g. County Council, District Councils, Schools and other public sector bodies • Undertake appraisals and agreed personal development objectives, targets and key tasks and to take responsibility for and account for their delivery. • Ensure that staff are clear about what's expected of them and their role in delivering our priorities <p>SUPERVISION OF PEOPLE</p> <p>Supervision of the above people including the allocation of work and quality assurance of the various outputs from the team according to agreed and statutory timescales</p> <p>Provide coaching and mentoring of the service Risk Champions.</p>
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CREATIVITY AND INNOVATION

Develop and gain assurances on the Council's arrangements, structures and systems for managing risk. This will include identifying the key outcomes, priorities, high risk areas and key change programmes of the Council and, in some cases, that of its strategic partners. Then identify and assess the best approach to be adopted, e.g.:

- Facilitated workshop
- Independent research and review of existing risk documentation, i.e. risk registers, risk/issue logs, project documentation, etc
- One to one discussion to obtain management assurances.

Be aware of and appreciate the forward agenda and approach reviews, manage discussions and marshal recommendations in the light of potential future developments. This will require giving advice on proposed policy initiatives, programmes and projects

This will require the post holder to demonstrate a dynamic approach to their duties combined with a persuasive and pragmatic manner with an ability to influence key players.

The post-holder will be required to apply a high degree of creative thinking to risk issues and be required to offer pragmatic solutions to overcome internal and external barriers to change.

Provide advice, and constructive challenge, on risk and control to assist all levels of management to manage risks in a way that supports the Council's appetite for risk, i.e. for risk management to be seen as an 'enabler' of taking measured risk not a blocker.

Work with other authorities and professional bodies to develop risk management thinking, and ensure that the Council is at the forefront in the use of best practice.

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<p>5</p>	<p>CONTACTS AND RELATIONSHIPS</p> <p>External Bodies and Partner Bodies – extensive contact with local District Councils for which risk services are provided. Significant contact with partner organisations on the services delivered to our external clients. This requires – effective client engagement using influencing – negotiating – presentation and persuasive skills to deliver service improvements and the management of risks and control – including counter fraud.</p> <p>Elected Members – there is a need to regularly report on activity to the Audit Committee. Assist in preparing briefing documents and reports for consideration and decisions on risk management. Attend and present reports to the Audit Committee as required.</p> <p>Liaison with members of the Audit Committee and the Elected Member and Management Board Risk Champions in supporting the Team Leader – Insurance and Risk to provide assurances around the effectiveness of the Council’s risk management arrangements.</p> <p>Senior LCC Officers – all levels of staff up to Chief Executive. Influence managers at all levels to help promote an open and honest culture and maintain a risk system that supports an environment of ‘no surprises’. Key groups include Directors and Senior Managers - particularly when maintaining and gathering assurances to update the Strategic Risk Register, usually quarterly.</p> <p>Senior Managers in other Local Authorities All levels of staff up to Chief Executive. Influence managers at all levels to help promote an open and honest culture and maintain a risk system that supports an environment of ‘no surprises’. Key groups include Directors and Senior Managers - particularly when maintaining and gathering assurances to update the Strategic Risk Register, usually quarterly.</p> <p>Other: Internally liaise with all members of the audit and counter fraud teams to obtain/share all necessary information to inform the development of work plans. Also, Represent the Council on operational national and local groups for the development and sharing of best practice.</p>
<p>6.</p>	<p>DECISIONS</p>

a) Discretion

The post holder will:

- Assist in the development and improvement of the working practices policies and procedures within the service
- Implement delivery plans for their area of responsibility
- Resource planning (scheduling of tasks and projects, deadlines of completing work). Accountable for the performance and delivery of specific area of work plan.
- Implement staff training and development plans
- Maintain the quality assurance of the risk product and outcomes.
- Implement people management policies and procedures e.g. recruitment, performance and absence management. Take decisions within the policy frameworks.
- Be responsible for suggesting changes and providing input to the development and revision of corporate risk policies, toolkits, strategies and guidance based on current and/or emerging best practice.
- Provide advice and suggested changes to improve the effectiveness of risk management arrangements both within the Council and its strategic partners.
- Assisting management to identify risk and draw up risk registers, logs and drafting reports where necessary. Through this personal contact this post influences processes and procedures underpinning the activities of the council. This interaction involves negotiation, presentation and persuasive skills.
- Influence and negotiate with managers and officers with the council and its strategic partners to agree suitable responses to risk issues, i.e. mitigating actions.
- Influence and negotiate with Strategic Partners to deliver service improvements and the management of risks and controls

Deputising for the Team Leader – Insurance and Risk (at least 4 times a month). Able to make decisions in this capacity for areas of responsibility.

b) Consequences -

Evaluation of assurance and output from work performed can affect service delivery and affect the way in which the council responds to its biggest risks - which may have a financial impact and change the design of its control framework.

Effective risks supports good performance and helps minimise service failures and potential damage to reputation

Help ensure the council's strategic partners have sound risk management arrangements in place.

Meet internal and external performance targets.

Help the council to create an environment of fewer 'surprises'.

More informed decision making

	Assist in the development of new ways of working within the service which is recognised nationally as best practice
7	<p>RESOURCES</p> <p>Laptop Use of 'pool' mobile phone Control over voting software - £1650 Handling of confidential and sensitive information.</p>
8	<p>WORK ENVIRONMENT</p> <p>a) Work Demands</p> <p>Capacity and operational planning involving prioritisation, assessment of skills required for the task / project and the recasting work programmes Responding to urgent client requests on risk, controls and investigation.</p> <p>Work is subject to deadlines and multiple clients which involve frequent changes of circumstances and conflicting priorities. Often requires rapid and fundamental change to work plans. Clients located both across various sites in and outside Lincolnshire.</p> <p>Required to work out of normal office hours, when necessary, i.e. to support a corporate response to an emerging or impact crisis, i.e. events requiring invocation of the Corporate Business Continuity Plan, such as swine flu.</p> <p>Responsible for progress and delivery team performance targets – includes targets on delivery of specific work plans, timescales on issue of reports and quality.</p>
	<p>b) Physical Demands</p> <p>Extensive use of laptops for long periods during most days Travel to sites throughout the county, regionally and nationally Required to work out of normal office hours, when necessary</p>
	<p>c) Working Conditions</p> <p>Agile – an employee who has the ability to work from any location at any given time (home, office, hotel, train etc) and can utilise workspace in partner organisations.</p> <p>Hot desk environment</p>

	<p>d) Work Context</p> <p>Moderate risk Risk from lone working Risk from exposure to hostile/verbally aggressive behaviour</p>
9.	<p>KNOWLEDGE AND SKILLS</p> <p>This post requires the ability to undertake work of a complex and diverse nature which necessitates knowledge and skills at an intermediate level in audit</p>

/ risk management.

Post-holders should be comfortable working with ambiguity and uncertainty.

There are a range of specific requirements placed on this role by professional standards. These are outlined below:

Qualifications.

Have a professional qualification in Audit / Risk or be able to demonstrate competence at an equivalent level, i.e. Registered Risk Practitioner (RRP) status and commitment to a programme of Continuing Professional Development.

Experience

- Significant relevant experience in audit / risk management
- Working in local authorities or other public service bodies. Up to date knowledge and understanding of business risk management and its practical application in local authorities / public services.
- Proven track record of working at senior level – including staff management with the ability to present findings at all levels internally & externally
- Knowledge of Risk Management Standards
- Excellent presentation and facilitation skills (small and large groups).
- Ability to assist management teams and partnerships through the facilitation of risk identification and assessment.
- The ability to meet deadlines, balance competing priorities and act on key tasks within a large and varied range of work.
- Awareness of the complex issues of working across the council and its partners.

Knowledge & Training

- A thorough knowledge of risk management practice / guidelines etc applicable to public sector bodies.
- Effective written and oral communication skills
- Ability to apply a range of analytical techniques to understand and interpret issues, consider a range of options, make appropriate judgements and advise clients on best course of action.
- Proficient in the use of IT and Microsoft suite of products
- Project co-ordination and management skills.
- Able to compose accurate, effective and high quality documentation and reports
- Interpersonal skills and the ability to use tact and diplomacy with clients and colleagues
- Strong listening, influencing and negotiation skills

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| | <ul style="list-style-type: none">• Good communication skills – fluency in report writing and in presenting information to senior managers and Councillors. Awareness of the political environment within the Council or client and be able formulate and offer balanced advice to senior managers and Councillors. |
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10. GENERAL

Job Evaluation - This job description has been compiled to allow the job to be evaluated using the GLPC Job Evaluation scheme as adopted by the County Council

Other Duties - The duties and responsibilities in this job description are not exhaustive. The post holder may be required to undertake other duties that may be required from time to time within the general scope of the post. Any such duties should not substantially change the general character of the post. Duties and responsibilities outside of the general scope of this grade of post will be with the consent of the post holder.

Equal Opportunities - The post holder is required to carry out the duties in accordance with Council Equal Opportunities policies.

Health and Safety - The post holder is required to carry out the duties in accordance with the Council Health and Safety policies and procedures.

Safeguarding -. All employees need to be aware of the possible abuse of children and vulnerable adults and if you are concerned you need to follow the Lincolnshire County Council Safeguarding Policy. In addition employees working with children and vulnerable adults have a responsibility to safeguard and promote the welfare of children and vulnerable adults during the course of their work.

	Name:	Signature:	Date
Job Description written by: [Manager]
Job Description agreed by: [Post holder]

Note: Qualifications and Experience headings are included in the Person Specification, see 'Using Competencies in Recruitment & Selection' in the Employment Manual on George.

Guidance on the completion of this JD can also be found on George or available from your HR Adviser. V11