

HEALTH AND SAFETY EXECUTIVE (HSE)

**Health and Safety Executive (HSE)
Audit and Risk Assurance Committee – Independent Member**

**Candidate Information Pack**

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**Annex A: Committee Terms of Reference**

# About the Health and Safety Executive

The Health and Safety Executive (HSE) is a Crown Executive Non-Departmental Public Body sponsored by the Department for Work and Pensions (DWP).

We are the independent regulator for work-related health and safety. Our wide ranging activities include overseeing major hazard safety regimes (including offshore oil and gas and onshore chemical processing), workplace inspections, accident investigations, policy development and publishing guidance and research.

We are highly regarded both nationally and internationally. The benefits that our work brings to business, workers and the UK economy are clear. Improved health and safety risk management protects workers and translates into reduced sickness absence, lower healthcare and welfare costs, and better productivity.

Great Britain’s health and safety record is the envy of much of the world. Central to this

is our core purpose to save lives by reducing risk and protecting people and the environment.

We are also working to improve building safety with the establishment of the Building Safety Regulator and extending our environmental protection role with the establishment of several chemicals regulation regimes, such as biocidal products, plant protection and UK REACH.

We currently employ around 2,600 FTE staff, and have an annual expenditure of c£250M. More information about us can be found in the [Annual Report](https://www.hse.gov.uk/aboutus/reports/ara-2019-20.pdf?new), [Business Plan](https://www.hse.gov.uk/aboutus/strategiesandplans/businessplans/index.htm) and on our [website](https://www.hse.gov.uk/index.htm).

# The Audit and Risk Assurance Committee

The HSE Board is responsible for ensuring that an effective framework of governance, risk management and control is in place.

The Audit and Risk Assurance Committee plays a crucial role in supporting the Board to meet these obligations. The role is a challenging one and needs strong, independent members with an appropriate range of skills and experience. It benefits from a strong collaborative relationship with the organisation but also needs to act as the conscience of the organisation and to provide insight and strong constructive challenge where required, such as on risks arising from fiscal and resource constraints, new service delivery models, information flows on risk and control and the agility of the organisation to respond to emerging risks.

As a sub-committee of the HSE Board, the purpose of the Audit and Risk Assurance Committee is to

* review the comprehensiveness of assurances on governance, risk management and the control environment in meeting the Board and Accounting Officer’s assurance needs;
* review the reliability and integrity of these assurances
* review the integrity of the financial statements; and
* advise the Board and Accounting Officer about how well assurances support them in decision-taking and in discharging their accountability obligations

**Responsibilities**

The Audit and Risk Assurance Committee ‘s key activities comprise:

* Reviewing strategic processes for risk, control and governance and making recommendations for improvement
* Considering the assurances in relation to the integrity of the financial statements, including adequacy and appropriateness of the accounting policies.
* Ensuring that financial controls and systems of governance, risk management and internal control are robust.
* Guiding the development and direction of assurance activity (including but not limited to internal and external audit) through consideration of the integrated assurance plan
* Consideration of the outcomes from assurance activity, and assessing the impact on the overall control environment, including making any recommendations for improvement as necessary.
* Reviewing the adequacy and timeliness of the implementation of management actions to address control weaknesses highlighted through assurance reviews.

The current Terms of Reference are provided at Annex A.

# About the role

The Committee comprises three non-executive members of the HSE Board, one of whom serves as Chair of the Audit and Risk Assurance Committee, and one independent member. The independent Audit and Risk Committee Member will provide specialist and independent input into the Committee, helping to ensure that HSE is managed in a manner that is risk aware, effective and is a model of good corporate governance.

As an independent ARAC member you are expected to:

* Engage with relevant Executives to achieve a full understanding of the HSE’s functions and provide advice outside the confines of the Audit and Risk Assurance Committee.
* Prepare, attend and actively contribute to quarterly Audit and Risk Assurance Committee meetings
* Contribute impartial advice on the adequacies of assurances provided on financial and risk management, internal controls, the outcomes of assurance activity and on any implications for corporate governance.
* Constructively challenge the assurances provided and draw on ways in which those assurances could be developed from your own professional background, while respecting executive responsibility.
* Maintain familiarity with the HSE internal and external landscape to enable appropriate challenge and relevant assurance.
* Maintain an open and professional line of communication and relationship with all key stakeholders including the Accounting Officer, Director of Finance, Head of Business Assurance and external and internal auditors.
* Promote a culture of ethical awareness, integrity and accountability.
* Respect confidentiality and declare conflicts of interest.
* Take part in corporate initiatives and training as required, to support the continuous improvement of HSE.
* Act in accordance with accepted [standards of behaviour in public life](https://www.gov.uk/government/publications/the-7-principles-of-public-life/the-7-principles-of-public-life--2)
* Ensure that the ARAC acts as an effective body which adds value to HSE and acts in best interests of wider public.

# Person Specification

**Essential Criteria:

Skills and Expertise**

* Accountant holding a current professional accounting qualification recognised for practice in the UK
* Board level [or equivalent] experience of ensuring effective financial and risk management, with sufficient financial experience to support understanding of good financial discipline.
* Senior level business or operational experience - leading and operating within complex, multi-disciplinary organisations with a track record of delivering organisational change, and a proven ability to influence strategic debates and decisions on a breadth of corporate issues.
* An ability to analyse complex information, maintain a sense of perspective and to pick out critical issues, and to question intelligently, debate constructively, challenge rigorously and decide independently, while respecting executive responsibilities.
* Effective communication and relationship building skills, including the ability to negotiate, influence, challenge and listen sensitively to the views of others.
* Commercially and politically aware with the ability to understand and translate the impact of external factors in the context of HSE.
* An understanding of the three lines of defence assurance model and its role in effective governance in the context of significant organisational growth and change.

**Other Attributes**

* Willing to share expertise with the Board, Committee members and Executives and support others to build related skills where possible.
* High levels of integrity and probity, and the ability to act fairly and impartially, and always in the best interests of HSE.
* An interest in the health and safety agenda and a broad commitment to the goals of HSE.

**Desirable**

* Broad understanding of the public sector environment, specifically in relation to effective corporate governance.
* Experience of public sector accounting preferably including exposure to governmental arm's length bodies.
* Previous experience of chairing or sitting on an Audit and Risk Assurance Committee

# Outline of Terms and Conditions

**Remuneration:** £3,000 per annum plus reasonable out of pocket expenses.

**Time Commitment:** The Audit and Risk Assurance Committee meets four times per year.
It is expected that approximately 8 days per year will be required.
This includes Committee attendance and preparation and any advisory work to support the governance of the organisation.

**Term:** Initial three-year period commencing 1 October 2021, with the possibility of one renewable term thereafter.

**Location:** Meetings will routinely take place remotely.

**Conflicts of Interest:** If appointed, members should avoid situations in which their HSE duties and private interests conflict or where they could be a perceived or potential conflict. You must declare any personal or business interests which may, or may be perceived to, influence your judgements in performing your functions.

# How to Apply

To apply for this role please supply the following materials by 23:59 on 18 June 2021.

**Part 1: Curriculum Vitae** – *maximum 2 pages*

**Part 2: Covering Letter** – Explaining how you meet the essential criteria - *max 3 pages*

**Part 3: Online Monitoring Forms** – Candidate equality information form

Please email your CV and Covering Letter to Dawn Hepworth dawn.hepworth@hse.gov.uk by 23:59 on 18 June 2021. Please include the reference “Independent HSE ARAC Member” in the subject of your email.

We are unable to accept any applications submitted after the closing date.

An Assessment Panel will consider your suitability for the role against the selection criteria, using initially only the evidence you have provided in your covering letter and CV, and then should you be invited, the information that you provide at interview.

# Assessment ProcessTimeline

The decision on who to appoint to this role will be made by the HSE Chair, who will receive advice from the Assessment Panel on the suitability of candidates against the published selection criteria and the information provided at interview.

Please note we have provided an indicative timetable at this stage which could be subject to change – potentially at short notice. If you are unable to meet these timeframes, please let us know by contacting dawn.hepworth@hse.gov.uk .

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| --- | --- |
| Monthly calendar | **Advert Closing Date** – 18th June 2021 |
| + |  |
| List | **Shortlist** – 9th July 2021  |
|  |  |
| **Boardroom** | **Informal pre-interview Chats** – 21 July - mid August |
|  |  |
| Meeting | **Interviews** – Interviews will take place 8 September 2021 |

**The Assessment Panel will be:**

* Martin Esom – Chair of Audit and Risk assurance Committee
* Sarah Newton – Chair of HSE Board
* David Murray – Director, Finance, Planning and Procurement

**Interview**

We aim to accommodate the availability of interviewees, but if they are unavailable for alternative dates that are offered we may have to disregard their application.

A letter confirming the arrangements of date, time and venue will be sent to all short listed candidates. Copies of passports will be presented at interview to check candidates’ identities and their right to work in the UK.

Interviews will be held online via Microsoft Teams.

**Post Interview**

Following the HSE Chair’s decision on appointment, all shortlisted candidates will be notified of the outcome. The successful candidate will be sent a letter of appointment to sign and return.

Please note that due to the high volume of applications we can only provide feedback to candidates who reached the interview stage.

# Further Information

## Diversity

The Equality Act 2010 legally protects people from discrimination in the workplace and in wider society. DWP is committed to implementing the Act in all recruitment and selection activity.

HSE is committed to providing services which embrace and value diversity and promote equality of opportunity. Our goal is to ensure that these commitments, reinforced by our Values, are embedded in our day-to-day working practices with all our customers, colleagues and partners. We do not discriminate on the basis of age, disability, gender, marital status, sexual orientation, religion or belief, race, colour, nationality, ethnic or national origin, or (in Northern Ireland) community background, working pattern, employment status, gender identity (transgender), caring responsibility, trade union membership.

**Disability Confident Scheme**

The Disability Confident scheme has replaced the Guaranteed Interview Scheme. DWP and its Arms-Length Bodies, are accredited users of the Disability Confident symbol, which signifies organisations that have a positive attitude towards applicants who have a disability.

All Disability Confident Employers will offer interviews to disabled candidates who meet the minimum requirements for a job or role. If you wish to apply for consideration under this scheme, please complete the declaration in the Diversity Monitoring Form provided. It is not necessary to state the nature of your disability.

Whether you choose to apply under the Disability Confident scheme or not, you can still ask us to make particular adjustments for you when attending an interview. You can also contact us if you want to discuss the criteria for the role or have questions regarding your application.

**Reasonable Adjustments**

If you have a disability and require reasonable adjustments to enable you to attend for interview, please advise us when you return your application.

Please email your application to: dawn.hepworth@hse.gov.uk.

## Eligibility

job is broadly open to the following groups:

* UK nationals
* nationals of Commonwealth countries who have the right to work in the UK
* nationals of the Republic of Ireland
* nationals from the EU, EEA or Switzerland with (or eligible for) status under the European Union Settlement Scheme (EUSS)
* relevant EU, EEA, Swiss or Turkish nationals working in the Civil Service
* relevant EU, EEA, Swiss or Turkish nationals who have built up the right to work in the Civil Service
* certain family members of the relevant EU, EEA, Swiss or Turkish nationals.

## Contact Details for Queries

If you have any questions relating to the role, application process or progress of your application please contact:

Name: David Murray, Director of Finance and Performance
Telephone: 0203 028 4499
Email: david.murray@hse.gov.uk

## Complaints

The Civil Service Code sets out the standards of behaviour expected of civil servants.

We recruit by merit on the basis of fair and open competition, as outlined in the Civil Service Commission's recruitment principles.

The Civil Service embraces diversity and promotes equal opportunities. As such, we run a Disability Confident Scheme (DCS) for candidates with disabilities who meet the minimum selection criteria.

If you believe that Civil Service Commission principles of selection for appointment on merit on the basis of Fair and Open competition have not been met you can raise a complaint by emailing: HR.Resourcing-Team@hse.gov.uk or by writing to HSE at the following address: HSE Resourcing Team, 2.3 Redgrave Court, Merton Road, Bootle, Merseyside, L20 7HS. If you are not satisfied with the response you receive from the Department, you can contact Civil Service commissioners: https://civilservicecommission.independent.gov.uk/code/civilservicecodecomplaints/

**Health and Safety Executive**

**Audit and Risk Assurance Committee**

**Terms of Reference**

1. The Audit and Risk Assurance Committee (the Committee) has been established as a committee of the Board of the Health and Safety Executive (HSE) (the Board)

**Aims**

2. The aim of the Audit & Risk Assurance Committee is to advise the Board and the Accounting Officer on whether HSE's audit and risk assurance arrangements:

* support its strategic aims;
* enable the efficient, effective and economic conduct of business;
* comply with regulatory requirements; and
* are tolerable within the Board's stated risk appetite.

 The Committee meets this aim by:

* reviewing the comprehensiveness and reliability of assurances in meeting the Board's needs and those of the Accounting Officer;
* reviewing the integrity of the financial statements and the annual report, including the annual governance statement;
* providing an opinion on how well the Board and the Accounting Officer are supported in decision-making and in discharging their stewardship and accountability obligations.

The Committee also aims to:

* Promote the highest standards of propriety in the use of public funds and encourage accountability for the use of those funds;
* Improve the quality of financial reporting and promote a climate of financial discipline and control;
* Promote the development of internal control systems, including sensible business risk management; and
* Promote value for money and efficiency within HSE.

**Authority**

3. The Audit and Risk Assurance Committee is authorised:

* To investigate any activity within its terms of reference;
* To seek any information it requires from any HSE employee; all employees should co-operate with any request made by the Committee; and
* To obtain, with the Board's agreement, external, expert advice as it deems necessary to discharge its responsibilities. The cost of such advice will be met by the organisation, subject to budgets agreed by the Accounting Officer; and
* Co-opt additional members for a period not exceeding a year to provide specialist skills, knowledge and experience;

**Membership of the Audit and Risk Assurance Committee**

4. The membership shall be:

* A non-executive director from the HSE Board as Chair;
* A non-executive director from the HSE Board as Vice-Chair, who shall act as Chair in the absence of the Chair; and
* A minimum of one independent member.

5. The current membership of the Committee is: LEFT BLANK

6. The Committee will be provided with a secretariat function by HSE.

**Reporting**

7. The Audit and Risk Assurance Committee will formally report in writing to the HSE Board and Accounting Officer after each meeting.

8. The Committee will provide the HSE Board and Accounting Officer with an Annual Report, timed to support the finalisation of the accounts and the Governance Statement, summarising its conclusions from the work it has done during the year.

**Responsibilities**

9. The Audit and Risk Assurance Committee will advise the HSE Board and Accounting Officer on the comprehensiveness and reliability of the HSE's assurance arrangements which may include:

* The strategic processes for risk, control and the Governance Statement
* Integrity of the financial statements;
* Internal control environment;
* Adequacy and appropriateness of HSE’s assurances relating to the management of risk and of corporate governance requirements;
* Accounting policies, the accounts and the annual report of the organisation including the process for review of the accounts before submission for audit, levels of error identified, and HSE’s letter of representation to the external auditors;
* Planned activity and results of both internal and external audit including the Internal Audit Strategy, Annual Audit Plans and Annual Report, (including access to individual audit reports where Committee members request such access);
* Adequacy of HSE's response to issues identified by audit activity, including external audit’s management letter;
* Resourcing of Internal Audit including performance against KPIs;
* Terms of Reference (or equivalent) for Internal Audit;
* Adequacy of anti-fraud policies, "whistleblowing" processes, and the Bribery Act and arrangements for special investigations within HSE;
* Range of Assurances from third party suppliers including e.g. the Shared Services provider and IT Provider;
* Quality of the IA service including results of the external quality assurance review required by PSIAS as a minimum every 5 years.

**Meetings**

10. The Audit and Risk Assurance Committee will meet a minimum of four times per annum. The Chair of the Committee may convene additional meetings, as they deem necessary.

11. A minimum of three Committee members shall be present for the meeting to be quorate.

12. Committee meetings will normally be attended by:

* The Director, Planning, Finance and Procurement
* The GIAA and/or designated Head of Internal Audit (as specified in the SLA)
* A representative of NAO; and
* A representative of the Department for Work and Pensions.

The Accounting Officer has a standing invitation to attend Committee meetings.

13. The Committee may ask for other HSE officials to attend to assist with discussions on specific issues.

14. The Committee may also ask for regular attendees who are not members to withdraw to facilitate full and frank discussion of particular matters.

15. The HSE Board or Accounting Officer may ask the Committee to hold further meetings to discuss particular issues on which the Committee’s advice is wanted.

16. The Committee may also hold workshops to exchange information on relevant issues or, for new developments, as a learning opportunity.

17. A Committee member or attendee who becomes aware of a potential or actual conflict of interest relating to matters being discussed by the Committee should give prior notification to the Chair or, if this is not possible, declare it at the meeting and, where necessary, withdraw during discussion of the relevant agenda item.

**Access**

19. The GIAA or Head of Internal Audit and Assurance and the representative of NAO will have free and confidential access to the Audit and Risk Assurance Committee Chair.

**Information**

20. Before each meeting the Audit and Risk Assurance Committee will be provided with:

* A copy of finalised Internal Audit reports and the management response where assurance levels are Limited or Unsatisfactory;
* A copy of the Executive Summary of Internal Audit reports where assurance levels are Moderate or Substantial;
* A progress report from the Head of Internal Audit and Assurance summarising:
	+ Work performed and a comparison with work planned;
	+ Key issues emerging;
	+ Management response to audit recommendations;
	+ Changes to the agreed Annual Internal Audit Plan;
	+ Any resourcing issues affecting delivery of plan;
	+ KPMs as determined by the SLA;
* A progress report from external audit summarising work done and emerging findings (this may include aspects of wider work carried out by the NAO, for example Value for Money reports and good practice findings); and
* A report summarising any significant changes to HSE’s strategic risks and a copy of the strategic and external risk register and operational risk heat map.
* Management assurance reports; and
* Reports on the management of major incidents, “near misses” and lessons learned.

21. The Committee will also be provided with (as necessary):

* Proposals for changes to its Terms of Reference;
* Proposals for the Terms of Reference of Internal Audit;
* The Head of Internal Audit’s Annual Report and Opinion;
* Any quality assurance reports on the Internal Audit function;
* The Internal Audit Strategy;
* The Internal Audit Plan in draft before each operating year;
* The NAO Audit Plan;
* The HSE draft accounts;
* The draft Governance Statement;
* A report on any changes to accounting policies;
* External Audit’s management letter;
* External Audit’s Audit Report;
* Technical updates including publications such as MPM, Assurance Frameworks, Customer Handbook, Audit Committee Handbook;
* A report on co-operation between Internal and External Audit;
* A report on any proposals to tender for audit functions;
* Regular reports on relevant key projects. The Committee also receives updates in areas of general interest via informal briefings;
* A report on security incidents and Information Assurance.

**Performance review, training and development**

22. The Chair will review members' performance annually and the Chair of the Board will review the ARAC Chair's performance annually.

23. The Committee will consider the provision of induction, training and development on an on-going basis.

24. The Committee will advise the Board of any apparent deficiencies that it may from time to time identify in the collective skill set of its membership.

25. The Committee will review its own effectiveness annually and report the outcome of that review to the HSE Board.

**Review of the terms of reference**

26. The Committee will review these terms of reference annually.