

May 2020

Trust in water

# Information for applicants

**Principal, Information Governance  
Ref: OFWBC-442**

[www.ofwat.gov.uk](http://www.ofwat.gov.uk)

**o f w a t**

**INVESTORS IN PEOPLE™**  
We invest in people Standard



## Introduction from Rachel Fletcher, Chief Executive

### Improving life through water.

Water companies support all aspects of life. Safe and reliable water and wastewater services are essential for our day to day lives, our wellbeing, and our natural world.



And as the economic regulator of water and waste water in England and Wales, our role is to enable, incentivise and hold companies to account for providing the very best for customers, society and the environment now and in the future. We also oversee the markets that exist in the water sector to make sure they are working for customers.

To achieve this, we've set ourselves three goals. They are to:

- transform water companies' performance;
- drive water companies to meet long-term challenges through increased collaboration and partnerships; and
- for water companies to provide greater public value, delivering more for customers, society and the environment.

Delivering these goals will help to meet customers' needs: ensure reliable and safe water supplies today with a better environment, affordable bills and a resilient and sustainable future for water.

As we do this, we will be working to fulfil the UK and Welsh Governments' strategic priorities for Ofwat, and UK and Welsh Government policy.

We're ambitious about the future and looking for people who can help us to achieve our goals. Thanks for your interest in joining Ofwat. We look forward to receiving your application.

**Rachel Fletcher**  
**Ofwat Chief Executive**

## About Ofwat and the role

Ofwat (the Water Services Regulation Authority) is the economic regulator of the water and wastewater sector in England and Wales. Our role is to help it build trust and confidence with customers, the environment and wider society. Ofwat has an ambitious new [strategy](#) and as a regulator we are setting ourselves up to achieve and equal the ambition of this new strategy. It matters to us that things on the ground really change so that our impact on customers, the environment and the future of water is tangible and meaningful.

Our work is high-profile and fast-moving, within a dynamic and agile environment. The work that you'll be involved in every day will be about helping us to deliver our strategy, helping to us to be the regulator we want to be and helping the sector to deliver outcomes that matter to customers and society. Our strategy sets out the role Ofwat will play. We will adapt, be confident, act with purpose and integrity and continuously improve so that we make the greatest contribution possible to improving life through water.

## Role expectations

Ofwat needs to be at the forefront of developing and implementing an economic regulatory regime that uses market mechanisms and regulatory tools to protect customers' interests, drive efficiencies and innovation, enable efficient companies to finance their functions and ensure that the 'promises of privatisation' are delivered. The work that you'll be involved in every day will be about helping us to deliver our strategy and develop sustainable solutions, delivering outcomes that matter to customers.

You will be responsible for the Information Governance function within Ofwat, identifying and growing skills and encouraging a learning, performance focused environment. In that context, you will be responsible for delivering and contributing towards shaping the approach to Information Governance across the organisation, where we are using our approach to transparency alongside changes to process and cultural change to make a difference. You will also be linking into and playing an important role in the development and implementation of Ofwat's Data Strategy.

You will be joining at an exciting time - where the Information Governance and wider Data Strategy are being developed and rolled out to ensure we are making the most of our information assets demonstrated through the day to day operational

performance and improvement of Ofwat, as well as considering how we might best maximise the use of the sector's information assets.

Our work is high profile and fast moving, within a dynamic and agile environment. As such you'll work flexibly across a range of clusters and projects, as well as deliver responsively at short-notice to changing priorities. You'll also contribute proactively to our far-reaching programme of culture change and continuous improvement to make the whole of Ofwat the best that we can be.

As Principal you may fulfil the role of a people manager for one or more individuals, and you are likely to play a key role on one or more of our projects. You will lead the work on information governance, providing expert advice, leading necessary reviews of relevant policies and standards, driving and testing compliance with our GDPR and DPA requirements and ICO guidelines. You'll have a broad portfolio of work, and will take ownership of a range of specific policies and procedures, taking responsibility and accountability for their success. You'll ensure that we're delivering on our strategic objectives to time and to budget, and in line with our ways of working. You'll make an important contribution to understanding and managing strategic risk and opportunities.

You'll be expected to have good judgement and to exercise it across complex issues responsibly in line with our strategy and ways of working. You'll be a role model for the Ofwat ways of working, and be expected to provide support to colleagues across the office, proactively sharing skills and knowledge, and equally will be supported with coaching and mentoring. Effective stakeholder engagement will also be important for your success, as you increase and you nurture existing relationships whilst developing new ones.

Specifically the post holder will be responsible for delivery of:

- Information Governance Management
- Data protection and GDPR compliance generally
- Freedom of Information and Environmental Information Regulations responses
- Serious incident reporting for personal data breaches
- Internal reviews of our management of investigations and complaints
- Records Management, meeting our obligations under the Public Records Act

## **Key deliverables**

### **Information Governance Management**

- Develop and implement an Information Governance Strategy and associated policies/processes for Ofwat and maximise the value of Ofwat's assets in line with this strategy, through the planning, co-ordination, development and maintenance of data in our systems and tools.
- Lead and co-ordinate information governance continuous improvement work in relation to confidentiality, records management, freedom of information, including the development and implementation of training and awareness programmes to support Information Governance.
- Have responsibility for all report creation with regard to information governance, including reports to senior levels within Ofwat.
- Provide specialist advice in relation to information governance in the requirements / implications of current and new systems, products and services.
- Participate in the development of and implement Ofwat's data strategy and take a lead on digital preservation agenda, working alongside colleagues on wider corporate knowledge agenda.

### **Data protection and GDPR compliance**

- Lead Ofwat's compliance with all applicable data protection laws, including the Data Protection Act 2018 and General Data Protection Regulation, Freedom of Information Act 2000 and Environmental Information Regulations 2004 by providing specialist advice and guidance on data protection issues including maintenance of Ofwat's notification with the Information Commissioner (Registration under the Data Protection Act).
- Ensure the appropriate and secure use and sharing of personal data, implementing, monitoring, auditing and reviewing Data Processing Contracts, Information Sharing Protocols, Data Protection Impact Assessments etc.

### **Transparency and information requests**

- Lead on transparency to build trust and confidence in Ofwat across the regulatory sector.
- Oversee responses to Freedom of Information Act (FOIA), Environmental Information Regulations (EIR) requests, Subject Access Requests and support the internal review process.
- Ensure Ofwat has an effective logging and monitoring system of information rights requests to produce regular performance reports on the volume, nature and turnaround time of requests and using FOI as a tool for our publications agenda.
- Raise awareness of the transparency agenda within Ofwat.

- Provide expert advice and guidance in line with legislation and ethics of decisions under information law, including Freedom of Information/EIR and associated codes of conduct and keep up to date with new developments including legal requirements.

### **Serious Incident Reporting and Documentation**

- Lead on and develop information risk management policy, and strategy for implementing the policy within the existing Information Governance framework.
- Oversee the risk assessment process for information risk, including review of the annual information risk assessment to support and inform the Statement of Internal Control.
- Provide a focal point for the resolution and/or discussion of information risk issues.
- Deliver training for information asset owners, co-ordinate bi-annual updates to the Information Asset Register and report to SIAG (Security and Information Assurance Group).
- Co-ordinate with the Deputy Security Advisor to maintain and improve Ofwat's information security provisions.

### **Records management**

- Supervise and direct records management activity, including retention schedules and record-keeping, with suitable audit trails, and ensure compliance with applicable laws.
- Oversee the strategic management of electronic and paper-based information and lead on digital preservation practice.
- Work effectively and sensitively within clusters, projects and with Ofwat's legal services, contributing knowledge and experience of information rights and transparency to embed a culture of transparency, leading to the delivery of timely and accurate responses to requests for information.
- Oversee or participate in the design, development and monitoring of our record keeping, ensuring effective embedding and implementation of retention and disposal schedules in the context of an overall knowledge management approach.
- Liaise with The National Archives on the transfer of public records.
- Oversee a robust training and education support programme underpinning the records management agenda.

## Professional requirements

	Essential	Desirable
Qualifications	<ul style="list-style-type: none"> <li>• Educated to degree level or equivalent level experience in an information related field</li> <li>• Extensive experience working within information governance and records management environment</li> </ul>	<ul style="list-style-type: none"> <li>• ISEB accreditation in Data Protection, FOI</li> <li>• ISEB certificate in Records Management</li> <li>• Willing to undergo training if any gaps in the above</li> </ul>
Experience	<ul style="list-style-type: none"> <li>• Substantial experience (in the order of 5 years) of records management and information governance, as well as a willingness to develop further knowledge in these areas</li> <li>• Substantial experience (in the order of 5 years) of implementing digital preservation practice, preferably within a public authority</li> <li>• Substantial experience (in the order of 5 years) of managing records and information management contracts, and acting as an intelligent customer</li> <li>• Experience of engaging, advising and influencing (through negotiation) at all levels of an organisation including senior managers, forming excellent relationships within 'home' organisation and with the wider information governance community to achieve change</li> <li>• Ability to take a cross-sector /regulator / government approach, considering the impact of your decisions in the broadest of settings</li> <li>• Ability to analyse complex information in order to provide appropriate advice and guidance, pay attention to detail, have analytical abilities and the ability to recognise trends in data</li> <li>• Experience of writing and implementing policies, procedures and material for use by the organisation</li> </ul>	<ul style="list-style-type: none"> <li>• Background in, risk management and data professions</li> <li>• Experience of training staff in Information Management</li> <li>• Positive attitude towards learning and development</li> <li>• Experience within a rapidly changing organisation and/or rapidly changing policy environment</li> <li>• Experience of working within the public sector</li> </ul>
Knowledge	<ul style="list-style-type: none"> <li>• Wide knowledge and experience of Information Governance legislation including DPA, FOI/EIR, GDPR</li> </ul>	<ul style="list-style-type: none"> <li>• Understanding of key priorities of Ofwat as the sector</li> </ul>

	<b>Essential</b>	<b>Desirable</b>
	<ul style="list-style-type: none"> <li>• Wide knowledge and experience of records management requirements and best practice, and how these can be reflected in technical systems.</li> <li>• Wide knowledge of information management principles and practice including knowledge management</li> <li>• Wide knowledge of digital preservation practice</li> <li>• Knowledge of effective corporate governance processes</li> <li>• Knowledge and experience in complaints handling</li> </ul>	<p>regulator for the water industry</p> <ul style="list-style-type: none"> <li>• Understanding of the strategic context of the sector and what this means for delivery of Ofwat strategy</li> </ul>
Skills	<ul style="list-style-type: none"> <li>• Self-motivated and able to plan and manage workload effectively, with proven record of ability to meet deadlines and to manage competing demands</li> <li>• Excellent report writing and verbal communication skills</li> <li>• Ability to effectively influence (directly and indirectly) key individuals to achieve desired outcomes, including the ability to challenge where appropriate, and to co-operate well across disciplines</li> <li>• Excellent record keeping and organisation skills</li> <li>• Good computer and data systems literacy, and the ability to keep skills in this area up to date.</li> <li>• Resilience when dealing with members of the public and colleagues in situations of stress.</li> </ul>	

## Terms and conditions of employment

### Contract

This is a permanent appointment.



## Salary

The salary range for this role is Band 4 - £50,616 - £77,422. External candidates can expect to achieve a starting salary from the bottom of the band up to a maximum and no more than £55,000, depending on relevant skills and experience required for the post. Salary is paid monthly by credit transfer.

Internal and Civil Service candidates already at this job level would normally maintain their existing salary arrangements as this would be classed as a level transfer. If applying for the role as a promotion, these candidates can typically expect to be appointed on a salary at the bottom of the band or a 10% increase to existing salary, whichever is greater.

## Location

The role will be based in either Birmingham or London. However, it is likely that travel between offices and throughout the UK will be needed to be effective.

## Contracted place of work and taxable expenses

Any person who regularly works more than two days a month in both the Birmingham and London offices, irrespective of their contracted place of work, is considered by HMRC to have **two permanent workplaces**.

The payment of your rail fare, accommodation or subsistence in this situation attracts tax and National Insurance because you are receiving a benefit.

Ofwat meets the cost of the tax and National Insurance by grossing up your expenses and recovering the net amount through your monthly pay package. But the expenses are classed as taxable earnings, which could impact on any attachment of earnings – for example, student loan repayments, high income child benefit and state benefits.

This means that you will not be required to meet the costs of travel to the office location where you are not based.

For further information on taxable expenses, please email [payroll@ofwat.gov.uk](mailto:payroll@ofwat.gov.uk).

## Hours of work

The successful post holder will be required to work a minimum of 37 hours, excluding lunch breaks. You will be required to work such additional hours as is reasonable and necessary for the efficient performance of your duties.

## Probation

There is a probationary period of six months for all new entrants. Subject to satisfactory performance, the post holder will be transferred to permanent establishment at the end of their probation.

## Annual leave

On appointment the post holder will be entitled to 25 days annual leave plus 10½ days' public and privilege holidays a year. Annual leave entitlement will be increased by one day for each year of continuous employment with Ofwat, up to a maximum leave allowance of 30 days.

## Pension

On appointment, you are eligible to join the Civil Service Pension. The Civil Service offers a choice of defined benefit and stakeholder pensions, giving you the flexibility to choose the pension that suits you best. We offer you a choice of two types of pension.

**Alpha:** alpha is an occupational pension scheme and provides a defined benefit worked out on a Career Average basis.

From 1 April 2020, member contributions are based on actual salaries.

From 1 April 2020, employee contributions are:

<b>Actual pensionable salary (annual)</b>	<b>All members</b>
Up to and including £22,600	4.60%
£22,601 to £54,900	5.45%
£54,901 to £150,000	7.35%

£150,001 and above	8.05%
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From 1 April 2020, employer contributions are:

Revised Salary Band (£)	ASLC rate from 1 April 2020
23,000 and under	26.6%
23,001 to 45,500	27.1%
45,501 to 77,000	27.9%
77,001 and over	30.3%

**Partnership:** this is a stakeholder pension with a contribution from Ofwat. How much we pay is based on your age. We pay this regardless of whether you choose to contribute anything. You do not have to contribute but, if you do, we will also match your contributions up to 3% of your pensionable earnings.

Employer age-related contributions are:

Age at the last 6 April	Percentage of your pensionable earnings
Under 31	8%
31 to 35	9%
36 to 40	11%
41 to 45	13.5%
46 or over	14.75%

To learn more about the Civil Service Pension schemes, please follow the link <http://www.civilservicepensionscheme.org.uk/>

## Ofwat benefits

We also offer a range of additional benefits. These include:

- access to our package of benefits via our 'Edenred' scheme. This is a voluntary benefits scheme where staff have access to exclusive discounts on a range of goods and services such as retail outlets, theatre tickets, holidays, insurance and gym membership;

- cycle-to-work scheme;
- season ticket loan for travel between home and office;
- flexible working arrangements;
- fees paid for membership of relevant professional bodies;
- regular professional development;
- health and wellbeing initiatives; and
- free eye tests and contribution towards lenses/spectacles for VDU users, if appropriate

## **Further information**

### **Security clearance**

Any offer of appointment will be subject to satisfactory completion of security and pre-employment checks. Further information about the security checking procedure is available on request.

### **Nationality and immigration control**

This post is open to nationals of states within the British Commonwealth and the European Economic Area (EEA) and certain members of their families. There must be no employment restriction or time limit on your permitted stay in the UK.

If you would like further information on Nationality and Immigration Control, please email us at [people@ofwat.gov.uk](mailto:people@ofwat.gov.uk).

### **Stocks or shares**

Because of the nature of the information you will come into contact with and the need to be wholly independent of the water sector in England and Wales, you and your family (including your spouse or civil partner and any children or step-children under the age of 18 who still live at home, or any other member of your household) will be precluded from owning, purchasing or dealing in the shares of the water companies and their holding companies.

## How to apply

Applications should include a:

- curriculum vitae (**CV**);
- **covering letter** or supporting statement that outlines the contribution you can make to Ofwat, including how you feel you meet our professional requirements and demonstrate behaviours outlined in our competency framework;
- completed **CV supplement form**; and
- completed **diversity monitoring form**. This form is not mandatory.

Please email your CV and supporting documents to [recruitment@ofwat.gov.uk](mailto:recruitment@ofwat.gov.uk) by the closing date.

If you are unable to make an electronic application, you may submit your application on paper. Please contact us to find out how.

### Selection timetable

Closing date	Friday, 12 June @ 3:00PM
Sifting	Monday, 15 June
Interview date	w/c 22nd June via video conference

If you have any queries about any aspect of this role or selection process, please email [recruitment@ofwat.gov.uk](mailto:recruitment@ofwat.gov.uk)

## Expenses

We will refund travelling costs at the rate of standard rail fare for the journey or motor mileage rates (cars: 25p per mile).

Please note that proof of purchase will be required for all public transport expenses.

We cannot refund expenses for travel into the UK. If you have to stay overnight, please contact [recruitment@ofwat.gov.uk](mailto:recruitment@ofwat.gov.uk) for further details.

## Data protection

We will use your application only to inform the selection process. If you are successful it will form the basis of your personal employee record with us and we will

store it electronically within our SharePoint Electronic Document Management System (EDRMS) and our HR system iTrent. Unsuccessful applications are not retained and will be destroyed using Ofwat's secure disposal methods. If you have indicated that you would like Ofwat to retain your information for future similar employment opportunities we will retain this information. If at any point you decide you do not wish Ofwat to retain your information for these purposes please contact us and we will ensure your information is removed from our systems, unless we are legally obliged to hold it for a further period.

We will hold any data about you in completely secure conditions and with restricted access. Information in statistical form on present and former employees in some instances is provided to appropriate outside bodies. Wherever possible Ofwat ensures that statistical information is anonymised.

We will include data that you provide on the diversity monitoring form in a general database for statistical monitoring purposes only. This enables us to monitor the effectiveness of our policy on equal opportunities in employment.

Ofwat processes all the personal data you have provided during your application as set out in Ofwat's privacy policy which is available here:

<https://www.ofwat.gov.uk/publication/privacy-policy/>. If you have any concerns regarding the processing of some or all of your data please inform the People Hub in writing to [people@ofwat.gsi.gov.uk](mailto:people@ofwat.gsi.gov.uk) and/or the Data Protection Officer by emailing [FOI@ofwat.gsi.gov.uk](mailto:FOI@ofwat.gsi.gov.uk).

## Diversity

Ofwat aims to be an equal opportunities employer. We intend to make sure that there is equality of opportunity and fair treatment for all irrespective of:

- age;
- disability;
- gender reassignment;
- marriage and civil partnership status;
- pregnancy and maternity;
- race, religion or belief; or
- sex or sexual orientation.

We would like to assure you that we will treat the information you provide on the diversity monitoring form in the strictest confidence and only use it to help us monitor

appropriate equal opportunities policies. This information plays no part in our selection process.

## **Investors in People (IIP)**

Ofwat has IIP accreditation which reflects good management practices throughout our organisation, including in business planning, individual objective setting, learning and development opportunities, as well as continuous constructive feedback through our delivery and development conversations approach to performance management.

## **Complaints procedure**

The process of recruitment and assessment embraces the principles of fair and open competition and best practice. The first is to maintain the principle of selection for appointment to the Civil Service on merit on the basis of fair and open competition as outlined in the [Civil Service Recruitment Principles](#). The second is to promote an understanding of the [Civil Service Code](#) which sets out the constitutional framework in which all civil servants work and the values they are expected to uphold, and to hear and determine appeals made under it.

If you feel your application has not been treated in accordance with the recruitment principles and you wish to make a complaint, you should contact Sarah Lal, Head of HR, Operations (People), Ofwat, Centre City Tower, 7 Hill Street, Birmingham, B5 4UA in the first instance. If you are not satisfied with the response you receive from us you can contact the Civil Service Commission at [info@csc.gov.uk](mailto:info@csc.gov.uk).