

JOB DESCRIPTION

<u>JOB TITLE:</u>	Principal Auditor
<u>GRADE:</u>	Band 6
<u>DEPARTMENT:</u>	AuditOne
<u>LOCATION:</u>	As Designated
<u>RESPONSIBLE TO:</u>	Group Audit Manager
<u>ACCOUNTABLE TO</u>	Director of AuditOne

MAIN PURPOSE OF THE JOB

The post holder will fulfil a key role within a team providing internal audit services to a group of clients.

The post holder will provide a high level of audit skills and will work unsupervised across a range of clients and complex audits. Take responsibility, with support from the Group Audit Manager, for the delivery of audits/reviews in line with time targets and resource allocations, arranging the detailed implementation of individual audits from the planning stage through to report issue. This will involve setting up each audit on AuditOne's computerised working paper system, issuing terms of reference to client management, supervising staff during audit, ensuring quality of work, reviewing staff files and reports and submitting reports prior to issue to Group Audit Managers for approval.

Evaluating existing client practices and procedures to review whether they are effectively controlled to mitigate identified risks, and to determine if there are more efficient ways of working. To support in the delivery of an effective internal audit service by helping management improve systems of internal control, reducing the potential effects of significant risks.

Working with client managers to gain acceptance of recommendations, which change the way in which they carry out their jobs.

To support the Group Audit Manager with delivering the commercial aspects of the audit process including the delivery of personal and team productivity targets, the preparation of strategic and operational plans, and with appraisal and development of junior colleagues.

To deputise for the Group Audit Manager, as required, eg at Audit Committee.

VISION AND VALUES

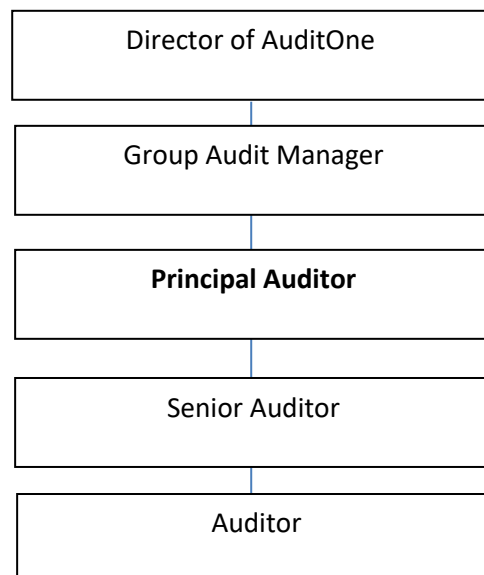
Our Vision is: “We Strive to provide the BEST CARE, delivered by the BEST PEOPLE, to achieve the BEST OUTCOMES”

Our Values are:-

- Caring Compassionate
- Respectful
- Honest and Transparent

OUR SHARED PURPOSE IS TO MAXIMISE OUR CONTRIBUTION TO HIGH QUALITY, COMPASSIONATE CARE AND TO ACHIEVE EXCELLENT HEALTH AND WELLBEING OUTCOMES

ORGANISATIONAL CHART



COMMUNICATION & RELATIONSHIPS

Deals with highly sensitive/complex/confidential/contentious data and information.

Write concise and constructive draft and final reports to the standard required by the Managing Director/Director of Audit and the client, showing findings and recommendations. Arrange meetings to discuss and agree findings with client senior managers e.g. Directors of Finance/Heads of Department. Findings and recommendations will subsequently be reported by the Group Audit Manager to each client Audit Committee.

Persuasive, negotiating, emphatic, decision making and reassurance skills will be required to ensure client accepts recommendations within the report, bearing in mind Internal Audit standards e.g. integrity, independence.

Establish and maintain good working relationships with staff at all levels in client organisations and AuditOne colleagues. Ensure you are professional and disciplined at all times, motivating and inspiring colleagues. Demonstrate integrity, competency and objectivity.

Audits will involve liaising with client staff at all levels e.g. Directors of Finance/Heads of Department.

Work collaboratively with Technology Risk Assurance and Counter Fraud colleagues, and on occasions with external agencies/bodies.

In the absence of the Group Audit Manager liaise with the Director of Internal Audit, client management and External Audit.

Attend and contribute to tender presentations.

KNOWLEDGE, SKILLS, TRAINING AND EXPERIENCE

Good standard of education to degree level or equivalent.

Part Qualified C.C.A.B / CMIIA or equivalent (working towards full qualification)

At least 3 years internal audit experience, preferably in the public sector.

Knowledge of financial and business systems through degree or appropriate experience.

Governance and risk management experience would be an advantage.

ANALYTICAL AND JUDGEMENTAL SKILLS

Where applicable, deliver high quality audits/reviews personally

As part of each audit, follow up of previous audit recommendations to ensure through testing that each has been satisfactorily implemented.

Identifying risk and assisting the client in quantifying the risk and suggesting mitigations/how to reduce risk. Ensuring confidentiality at all times. Apply professional judgement to recommend a reduction in controls / more efficient ways of working where instances of over control/inefficient practices are identified.

Review complex polices and procedures and recommend amendments to improve controls and mitigate identified risks.

PLANNING AND ORGANISATIONAL SKILLS

Responsible for arranging the detailed planning and delivery of highly complex assurance audits / advisory reviews, including extracting/analysing/interpreting/evaluating/assessing confidential/contentious information.

Plan and conduct the audit process to ensure delivery of the agreed scope within the time allocation, to the required quality standards

Carry out high quality, complex audits and advisory reviews in a manner which reflects professional standards e.g Public Sector Internal Audit Standards, Codes of Conduct, AuditOne's internal procedures and protocols and the Clients procedures and protocols and time allocations.

Take responsibility, with support from the Group Audit Manager, for the planning, management and implementation of audits/reviews as delegated by the Group Audit Manager. Areas of audit/review include financial, non financial and clinical areas, risk management/BAF, governance and any new topics/areas as they develop in the clients environment. Audits may occasionally involve handling cash e.g. petty cash counts, cashier checks.

A risk based approach will be adopted to fit each individual client's risk profile, to be agreed with the Group Audit Manager and the client.

Any other duties as may be reasonably required by the Managing Director/Director of Audit.

PHYSICAL SKILLS

A combination of sitting, standing and walking.

Advanced keyboard / VDU use.

RESPONSIBILITIES FOR PATIENT/CLIENT CARE

Contact with patients is incidental.

POLICY AND SERVICE DEVELOPMENT

Interpret client policies/procedures and ensure client staff adhere to these policies/procedures for areas under review.

Continually keep abreast of new and changes to existing audit techniques, NHS systems and the workings of the NHS (Financial, non financial and clinical areas).

Contribute to suggesting ways in which the service can be improved and developed. Assist in the development of methodologies and practices to ensure that those adopted by AuditOne reflect accepted good practice.

Suggest developments to policies and procedures in own work area and in client organisations as part of audits and reviews.

FINANCIAL AND PHYSICAL RESOURCES

Undertake value for money/lean systems audits, to improve the efficiency and effectiveness of NHS systems. Assist in special projects/investigations as required.

Potentially responsible for staffing costs/expenses up to £1000 per month.

Delivery of personal and team productivity targets.

HUMAN RESOURCES

Day to day supervision of Senior Internal Auditors, Auditors, trainees etc., and assist the Group Audit Manager with their appraisal and development, ensuring business goals are clearly communicated and linked to objectives.

Tackle discrimination and harassment, and promote equality and diversity in the workplace.

Reduce sickness absence; work place accidents; and promote zero tolerance on violence against staff.

Take responsibility for personal development and education and the development of a Personal Development Plan.

INFORMATION RESOURCES

Post holder will be responsible for ensuring audits are carried out in line with time and resource allocations. Work will involve setting up each audit on AuditOne's computerised working paper system(MKI), to develop/create data reports/spreadsheets/exception reports , issuing terms of reference to client management, supervising staff during the audit, ensuring quality of work, reviewing staff files and reports, and submitting reports prior to issue to Group Audit Managers for approval.

Where difficulties/adverse variances arise, discussing them with the Group Audit Manager in order to determine a course of action/remedy.

With the support of the TRA team, undertake basic IT reviews of computerised systems. Making use of client system interrogation reports. Where applicable, apply computer based interrogation tools e.g. IDEA.

Compile and maintain audit files and notes in the form required and which are acceptable to External Audit (computerised and/or manual). Use AuditOne's computerised working papers system to ensure standardisation.

As required, develop and update detailed audit work guides/programmes/benchmarking data.

RESEARCH AND DEVELOPMENT

Undertake and contribute to surveys or audits when requested

On a regular basis support the Group Audit Manager to carry out relevant background research on high level and complex audits and deliver allocated assignments on schedule and within budget in line with the AuditOne quality framework, and Public Sector Internal Audit Standards.

Research will be required for new audit areas and new skills developed accordingly. Develop and apply specialist skills (or refer to specialist teams) and knowledge to ensure that the range of audit services available develops in line with the needs of the client..

FREEDOM TO ACT

To use independent judgement and autonomy whilst working within defined occupational policies.

Specialist in own area.

Manage own workload and be accountable for own actions.

PHYSICAL EFFORT

A combination of sitting, standing and walking.

Advanced keyboard/VDU use.

MENTAL EFFORT

Frequent concentration for predictable work, against a background of interruptions from staff, clients, telephone etc.

EMOTIONAL EFFORT

Rare exposure to distressing or emotional circumstances.

WORKING CONDITIONS

Office environment with rare exposure to unpleasant working conditions.

SAFEGUARDING

Every employee has a responsibility for safeguarding and protecting adults and children from abuse, regardless of the setting in which the care takes place. It is every employee's responsibility to be aware of relevant Trust Policies. All employees should take part in training in order to maintain their skills. Front line practitioners should access regular supervision and support in line with local procedures.

HEALTH AND SAFETY

Contribute to maintaining a safe environment of care through effective risk management. Identify risks and develop appropriate strategies to manage the risks including responding appropriately to untoward/emergency situations.

TRUST CLINICAL GOVERNANCE STRATEGY

It is the responsibility of all health care professionals to play an active role in delivering the clinical governance agenda. There is a specific responsibility for individual health care professionals to be involved in auditing their own and their team's clinical performance, and to engage in activities, which continuously improve, the quality of services they provide.

Information of a Confidential Nature or Access to Confidential Information

"To be aware of the nature of information dealt within the NHS and to work in a manner which ensures confidentiality and security of this information"

INFECTION CONTROL

All Trust staff (clinical and non-clinical, including locum and agency staff employed by external contractors) have a personal responsibility to ensure the risk of infection to themselves, service users and visitors is minimised by ensuring that they (1) are familiar and adhere to, current Trust policy and guidance on infection prevention and control, (2) participate in the Trusts induction programme and statutory/required training in infection prevention and control and (3) consider infection prevention and control as part of their appraisal and/or personal development plans'.

CALDICOTT RESPONSIBILITIES:

1. **Justify the purpose (s) of every proposed use or transfer** - every proposed use or transfer of patient-identifiable information within an organisation should be clearly defined and scrutinised, with continuing uses regularly reviewed by an appropriate guardian.
2. **Don't use it unless it is absolutely necessary** - Patient-identifiable information should not be used unless there is no alternative, **where this is the case permission should be obtained.**

3. **Use the minimum** necessary - Where use of patient-identifiable information is considered to be essential, each individual item of information should be justified with the aim of reducing identification.
4. Access should be on a strict **need-to-know** basis - Only those individuals who need access to patient-identifiable information should have access to it, and they should only have access to the information items that they need to see.
5. Everyone with access to it should be **aware of their responsibilities** - Action should be taken to ensure that those handling patient-identifiable information are aware of their responsibilities and obligations to respect patient confidentiality.
6. **Understand and comply with the law** - Every use of patient-identifiable information must be lawful. Each department must have someone responsible for ensuring that the organisation complies with legal requirements.

ACCESS TO CONFIDENTIAL INFORMATION:

To be aware of the nature of information dealt with within the NHS, and to work in a manner which ensures confidentiality and security of this information.

This job description is not intended to be an exhaustive list of the duties and responsibilities of the post and the post holder may be requested to carry out any other duties appropriate to the grade or post.

The post may change over time to meet organisational requirements and the job description may be changed after consultation with the post holder at any time.

JOB DESCRIPTION AGREEMENT

Post Title:

Post Holder's Name:

Post Holder's Signature:**Date:**

Line Manager's Name:

Line Manager's Signature:**Date:**

PERSON SPECIFICATION

	<u>Essential</u>	<u>Desirable</u>
<u>Education and Qualification</u>	<p>Good standard of education to degree level or equivalent.</p> <p>Part Qualified C.C.A.B / CMIIA or equivalent.</p> <p>At least 3 years internal audit experience, preferably in public sector</p>	<p>Degree.</p> <p>Qualified CCAB / CMIIA or equivalent.</p> <p>Experience of risk management, governance, finance/business systems, project management</p>
<u>Knowledge and Experience</u>	<p>Public Sector Internal Audit Standards.</p> <p>Nolan principles.</p> <p>Risk based internal audit</p> <p>Microsoft products (word / excel etc)</p> <p>Knowledge of NHS systems and the organisation and workings of the NHS - financial, non financial and clinical.</p> <p>Good knowledge of Internal Audit methods and techniques.</p>	<p>IDEA</p> <p>NHS structures, systems, processes.</p> <p>Risk management, corporate governance, project ma</p>
<u>Skills and Competencies</u>	<p>IT Skills - literate and efficient in the use of a variety of computer systems and software.</p> <p>Analytical and evaluation skills.</p> <p>Negotiation, persuasive and interpersonal skills.</p> <p>Communication skills.</p> <p>Ability to write clear and factual reports.</p> <p>Staff management Skills.</p> <p>Prioritising and organising skills.</p> <p>Decision making skills.</p>	<p>Presentation skills</p> <p>Research skills</p>

<u>Role/Team specific requirements</u>	<p>Able to work as part of a team.</p> <p>Professional at all times</p> <p>Able to work unsupervised</p> <p>Self motivating.</p> <p>Ability to handle confidential/ contentious information.</p> <p>Able to motivate, inspire and supervise others.</p> <p>Time management Skills.</p>	
<u>Personal Characteristics</u>	<p>Good humoured</p> <p>Quality and target focussed</p>	
<u>Additional Requirements</u>	<p>Able to meet the mobility requirements of the post</p>	