

### **JOB DESCRIPTION**

<b><u>JOB TITLE:</u></b>	Senior Auditor
<b><u>GRADE:</u></b>	Band 5
<b><u>DEPARTMENT:</u></b>	AuditOne
<b><u>LOCATION:</u></b>	As Designated
<b><u>REPORTS TO:</u></b>	Group Audit Manager / Principal Auditor
<b><u>ACCOUNTABLE TO:</u></b>	Group Audit Manager
<b><u>RESPONSIBLE FOR:</u></b>	Supervision of Internal Auditors and Audit Trainees

### **MAIN PURPOSE OF THE JOB**

The post holder will fulfil an important role within a team providing internal audit services to a range of clients, principally but not exclusively NHS, undertaking a variety of financial and non-financial audits.

The post holder will take responsibility for the delivery of delegated audits and tasks in line with professional quality standards, time and resource allocations and for arranging the delivery of individual audits. This will require the ability to work with minimal supervision, however the degree of supervision will depend upon ability and experience.

To evaluate and test 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, high quality internal audit service by helping management improve systems of internal control, reducing the potential effects of significant risks.

The post holder will work with Group Audit Managers and Principal Auditors to gain acceptance of recommendations by client managers.

The post holder will display conformance to The AuditOne Way at all times.

## **DIMENSIONS**

AuditOne provides services a range of NHS and educational organisations across the North East, Cumbria, and Yorkshire with office bases in Newcastle, Durham, Stockton-on-Tees, and Carlisle.

### **Knowledge**

Understands the internal and external environment of their own organisation and of the organisation being audited

Demonstrates an awareness of the characteristics of good corporate governance and risk management

Understands their client organisation's strategy and success measures

### **Skills**

Arranges and attends opening audit meetings with clients

Carries out relevant background research into new / complex audit areas

Documents and validates client systems and creates audit work programme templates

Identifies controls in place to mitigate risks and carries out audit testing

Follows up previous audit recommendations

Arranges and attends opening exit meetings with clients

Prepare audit report and issue to client

Complete Pentana Checklists and Control Records

Establishes and maintains good working relationships with staff at all levels

Communicates effectively by using appropriate communication forms

Organises and expresses ideas clearly and with confidence in order to negotiate and gain acceptance of recommendations by clients.

Writes concise and constructive working papers and audit reports

Collaborates effectively with other AuditOne colleagues

Provides advice and addresses queries from all levels of client staff and AuditOne colleagues

Selects and uses tools / techniques to obtain relevant data / information for specific audit assignments

Manages their time effectively to deliver their audit assignments

Uses appropriate business systems and software in line with agreed audit methodologies, including Pentana

## Behaviours

Demonstrably lives “The AuditOne Way”

Acts with integrity

Adheres to NTW / AuditOne values

Takes responsibility for their own professional development

Has the ability to work with minimal supervision

Contributes to suggesting constructive ways in which the audit service can be improved and developed

Escalates difficulties / adverse variances when they arise and helps to determine an appropriate course of action

Demonstrates a questioning mind

The post holder will commit to the vision and values of AuditOne:

### The AuditOne Way: A Values Driven Organisation

#### Our Values:

AuditOne values are:

- **Trust:** In each other and what we do.
- **Respect:** For one another and our clients.
- **Quality:** At the heart of everything we do.
- **Innovation:** Always looking to improve.

Our approach will ensure that these values are embedded across the organisation, at all levels, in all we do.

In addition, we have outlined “Living Our Values”, describing how each value will effect, inform and influence our people and our clients and our business



## VISION AND VALUES

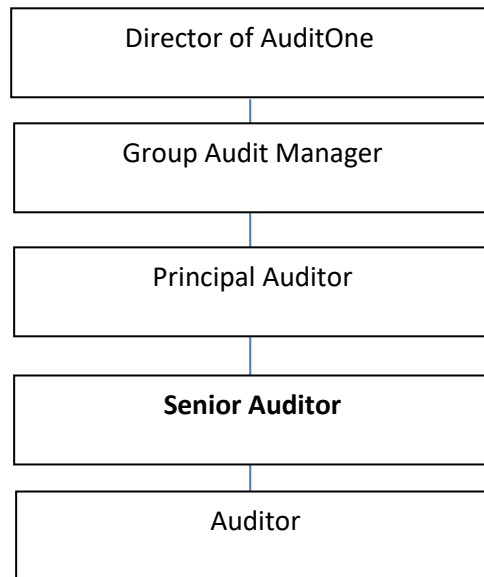
**Our Vision is:** “We Strive to provide the BEST CARE, delivered by the BEST PEOPLE, to achieve the BEST OUTCOMES”

**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**

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 eg. Directors of Finance/Heads of Department. Findings and recommendations will subsequently be reported by the Group Audit Manager to each client Audit Committee (sub committee of Trust Board). 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 eg. integrity, independence as detailed in the Public Sector Internal Audit Standards.

Undertake “follow up” audits for specified clients by contacting each relevant client senior manager and obtaining confirmation and where appropriate, evidence, that recommendations have been satisfactorily implemented or reasons as to why a recommendation is outstanding.

Plan and organise the conduct of audit assignments with clients and colleagues.

Discuss and agree the findings and recommendations of audits with client management.

Provide, receive and report upon complex information / data which require the application of persuasive, negotiating, empathetic, decision making and reassurance

skills will be required to ensure client accepts recommendations, bearing in mind Internal Audit standards eg. integrity, independence.

Respond to risk and control queries from clients, liaising with senior colleagues if necessary.

Maintain good working relationships with staff at all levels in client organisations and AuditOne

Liaise with Group Audit Managers to ensure an appropriate and efficient interface with clients re the delivery of assignments and reports.

### **KNOWLEDGE, SKILLS, TRAINING AND EXPERIENCE**

Good standard of education to A level or equivalent.

Working towards C.C.A.B / CMIIA qualification or equivalent experience.

Knowledge of internal audit/business/finance through a degree or suitable experience.

At least 2 years internal audit experience, preferably in the public sector.

Finance/business/risk management experience would be an advantage

### **ANALYTICAL AND JUDGEMENTAL SKILLS**

Support Principal Auditors with the planning and delivery of more complex audits and advisory reviews.

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.

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

Apply professional judgement to recommend a reduction in controls / more efficient ways of working where instances of over control/inefficient practices are identified.

### **PLANNING AND ORGANISATIONAL SKILLS**

Responsible for arranging the detailed planning and delivery of assurance audits across a range of clients throughout the North East.

Carry out high quality audits in a manner which reflects professional standards eg. Public Sector Internal Audit Standards, Codes of Conduct, AuditOne's internal procedures and protocols and the Clients procedures and protocols.

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

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

### **PHYSICAL SKILLS**

Advanced keyboard / VDU use.

Ability to drive.

### **RESPONSIBILITIES FOR PATIENT/CLIENT CARE**

Incidental contact

### **POLICY AND SERVICE DEVELOPMENT**

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).

Where part of a team servicing non NHS clients to keep abreast of that sectors regulatory framework eg Further Education.

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

Contribute to/make suggestions to the development of policies and working practices in own area and in client organisations.

### **FINANCIAL AND PHYSICAL RESOURCES**

There are no responsibilities for the management of financial or physical resources, other than responsibility for own productivity targets and the supervision of Auditor colleagues as appropriate.

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

### **HUMAN RESOURCES**

Provide advice and address queries from all levels of client staff and AuditOne colleagues.

Supervise Auditors, trainees etc possibly on a day to day basis, and assist with on the job coaching as required.

Demonstrate commitment to IWL principles and flexible working patterns, to meet the needs of the service and staff.

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

Reduce 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 the delivery of high quality audits/reviews 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, and the supervision of auditors, ensuring quality of work, reviewing working papers and reports, and submitting reports prior to issue to the Group Audit Managers for approval. . Where difficulties/adverse variances arise, discussing them with the Principal Auditor/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**

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

### **FREEDOM TO ACT**

To use independent judgement and initiative whilst working within clearly defined assignments and occupational policies.

Manage own workload and be accountable for own actions.

### **PHYSICAL EFFORT**

A combination of frequent sitting, and occasional standing and walking.

Keyboard/VDU use

Carrying a laptop and audit files

### **MENTAL EFFORT**

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

### **EMOTIONAL EFFORT**

Rare exposure to distressing or emotional circumstances.

### **WORKING CONDITIONS**

Use of VDU/laptops regularly.

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.
7. **The duty to share information can be as important as the duty to protect patient confidentiality** - Health and social care professionals should have the confidence to share information in the best interests of their patients within the framework set out by these principles. They should be supported by the policies of their employers, regulators and professional bodies.
8. **Inform patients and service users about how their confidential information is used** - A range of steps should be taken to ensure no surprises for patients and service users, so they can have clear expectations about how and why their confidential information is used, and what choices they have about this. These steps will vary depending on the use: as a minimum, this should include providing accessible, relevant and appropriate information - in some cases, greater engagement will be required.

### **SUSTAINABILITY**

The Trust attaches great importance to sustainability and corporate social responsibility. To achieve this, it is the responsibility of all staff to minimise the environmental impact of their day to day activities and address to Trust policies on sustainability, waste, resource usage and governance.

### **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**

	<b><u>Essential</u></b>	<b><u>Desirable</u></b>
<b><u>Education and Qualification</u></b>	<p>Good standard of education to A level or equivalent.</p> <p>Working towards C.C.A.B / CMIIA qualification or equivalent experience.</p> <p>Driving Licence.</p> <p>At least 2 years internal audit experience preferably public sector.</p>	<p>Part qualified CCAB / CMIIA or equivalent.</p> <p>Experience of risk management, governance, finance/business systems, project management</p>
<b><u>Knowledge and Experience</u></b>	<p>Public Sector Internal Audit Standards.</p> <p>Good knowledge of Internal Audit methods and techniques, inc Risk Based Audit.</p> <p>Good knowledge of the principles of finance and non financial NHS areas</p> <p>Nolan principles</p> <p>Risk based internal audit</p> <p>Microsoft products (word / excel etc)</p>	<p>IDEA</p> <p>NHS structures, systems, processes.</p> <p>Risk management, corporate governance, project management, IT, counter fraud</p>
<b><u>Skills and Competencies</u></b>	<p>IT Skills. Be 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>Time Management Skills.</p> <p>Prioritising and organising skills.</p>	<p>Decision making skills</p> <p>Presentation skills</p> <p>Staff management</p> <p>Risk management</p> <p>Project management</p> <p>Car driver</p>

<b><u>Role/Team specific requirements</u></b>		
<b><u>Personal Characteristics</u></b>	<p>Able to work as part of a team.</p> <p>Able to work unsupervised.</p> <p>Professional at all times.</p> <p>Good humoured</p> <p>Quality and target focussed.</p> <p>Self motivating.</p> <p>Ability to handle confidential/ contentious information.</p> <p>Able to supervise others</p>	
<b><u>Additional Requirements</u></b>		