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| <b>Role Title</b>   | <b>Assistant Internal Auditor</b>  |
| <b>Job Family</b>   | <b>Resources</b>   |
| <b>Location</b>   | <b>Fellowship Square</b>   |
| <b>Competency Level</b>   | <b>All Colleagues</b>  |
| <b>Pay Range / Scale</b>  | <b>SO2</b>   |
| <b>Purpose</b>  |  |
| <p>The post holder will work as part of the Internal Audit Team delivering a high-quality internal audit service and will have the opportunity to perform audits and advisory reviews across a full range of Council services, schools, Tenancy Management Organisations and companies in which the Council has an interest.</p> <p>Work covering planned and reactive audits will be undertaken in line with the Public Sector Internal Audit Standards. This will include risk based, compliance, corporate, cross-cutting and value enhancement audits; implementation reviews; continuous auditing and monitoring and other internal audit related activities.</p> <p>The post holder will be expected to contribute positively to meetings, be proactive in resolving problems and recommend feasible solutions and show innovation and creativity.</p> <p>To develop and foster excellent working relationships with the Internal Audit team, Anti-Fraud Team, and colleagues across the Council.</p> |  |
| <b>Generic Accountabilities</b>   | <b>End Results/ Outcomes</b>   |
| Deliver a specialist aspect of service delivery, which engages customers / stakeholders and enables them to make effective use of the service.  | <p>The service is delivered to the quality, organisational and professional standards required.</p> <p>Customer / stakeholder expectations are managed in relation to what can be delivered.</p> <p>The service meets organisational requirements and reflects customer / stakeholder requirements / needs, within organisational constraints.</p> |
| Maintain all required records and information. Analyse and interpret complex information, for input into reports.   | <p>Procedures are adhered to, and all information is correctly recorded and processed.</p> <p>Accurate, complete and relevant information / records / reports are provided for internal and/or external use.</p>   |
| Develop specialist documents / materials / activities to support / promote the service area.  | <p>All materials / activities are delivered to the required standards and timescales.</p> <p>Communications are clear, well planned and effectively targeted.</p>  |
| Provide advice and guidance to colleagues, customers and stakeholders. Manage escalated or  | Expert advice, information and support are provided on the full range of issues within the field of expertise.   |



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| complex customer issues within the specialist area.   | <p>Queries / complaints are effectively managed.</p> <p>Appropriate action is taken to resolve the issue. Customers are satisfied.</p>   |
| Maintain information systems which support the specialist area. Contribute to the development of these systems.   | <p>Changes to systems, are identified and recommended.</p> <p>Systems meet operational requirements.</p>   |
| Work closely with others to clarify changing customer / organisational requirements.  | <p>Customer requirements are identified and documented.</p> <p>Improvement opportunities are identified and recommended.</p>   |
| Develop good working relationships, develop community links and communicate effectively with internal / external organisations / partners and stakeholders. Represent specialist area internally and / or externally. | <p>Specialist work area reputation is maintained or enhanced.</p> <p>Stakeholders are engaged with activity relevant to them.</p> <p>Positive feedback is received from stakeholders. Best practice is shared.</p>   |
| Carry out all duties and responsibilities with reasonable care for the health and safety of self and others and report any potential hazards or unsafe practices to line manager.                                     | <p>Work is carried out in a way that is safe and without risks to health.</p>  |
| Ensure the necessary standards relating to safeguarding best practices/protocols are effectively communicated, monitored and maintained as relevant within the scope of this post.                                    | <p>Safeguarding standards are monitored and maintained in compliance with Council policy</p>   |
| Act in accordance with all policies and procedures which apply to the job and understand the reasons for this.  | <p>All policies and procedures are complied with.</p>  |
| <b>Job Specific Accountabilities</b>  | <b>End Results/ Outcomes</b>   |
| Work towards a relevant qualification during the first year .   | <p>Complete pre-course material, tutor-led modules, post-course submissions and on the job training for the role of Assistant Internal Auditor.</p> <p>Relevant professional qualifications are obtained, and continuous professional development (CPD) is maintained.</p> |
| Deliver a portfolio of audits in accordance with allocated budgets, and in compliance with procedures set   | <p>Prepare Terms of Reference and develop the risk and control matrices and working papers in the electronic audit management system.</p>  |



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| <p>out in the audit manual or as directed by the Audit Manager</p>  | <p>Formulate testing strategies and prepare testing schedules.</p> <p>Draw conclusions from testing and make appropriate recommendations where relevant.</p> <p>Hold closing meetings with management following the completion of fieldwork.</p> <p>Prepare draft internal audit reports.</p> <p>Keep the client informed at all stages of the audit, including providing weekly updates.</p> <p>Raise identified high priority issues with the client immediately and escalate to management as appropriate.</p> |
| <p>Undertake grant certification work in accordance with specific grant terms and conditions and direction from the Audit Manager</p>                           | <p>Reports are produced in accordance with the specific grant requirements.</p> <p>Clear and concise working papers are produced to enable Internal Audit Manager review and sign-off.</p>  |
| <p>Create and collate documents, reports, correspondence etc. from the information provided, using bespoke and standard formats and software.</p>               | <p>Produce written communications that are in an appropriate format, and are accurate, objective, clear, concise, constructive, complete and timely. These communications are essential for ensuring that management understand the issues identified during an audit and the action that is needed to address these issues</p>   |
| <p>Build strong working relationships with the client, ensuring any problems or requests are dealt with promptly or escalated to management as appropriate;</p> | <p>Communicate effectively with internal and / or external customers / service users.</p> <p>Act as point of contact for the service. Resolve problems, within scope of role, escalating to line manager as required.</p> <p>Resolve more routine / basic customer/service queries.</p> <p>Assess and prioritise telephone and personal callers and respond appropriately.</p> <p>Relevant, accurate, understandable and timely information is provided to customers.</p>   |



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|   | Provide clear and concise written communications with customers, including email   |
| Provide support to other staff as directed by the Internal Audit Manager and Senior Internal Auditor.                 | Assist with testing and other fieldwork.<br><br>Perform work as directed to assist with the completion of the Audit Plan.  |
| To develop and maintain up-to-date knowledge of relevant internal policies and procedures, legislation and standards. | Complete e-learning modules as directed.<br><br>Review and understand relevant internal policies and procedures which include the financial procedure rules, contract procedure rules, code of conduct, internal audit charter, strategy, internal audit manual, anti-fraud framework, including the prosecution policy, whistleblowing policy, anti-bribery, anti-fraud and corruption policies, anti-fraud and corruption response plan.<br><br>Assessments of competency completed to a high level of skill and accuracy.<br><br>To ensure ethical standards and working to the standards expected in the 'Nolan Principles'. |
| Contribute to service delivery / promote the service area   | Management information for the service generated and analysis and advice on anti-fraud performance against key performance indicators provided.<br><br>Completion of allocated work under the direct supervision of the Senior Internal Auditor or Internal Audit Manager within set performance targets.  |

**Nature of Contacts**

Involves supporting the Internal Audit Team and guiding internal and external stakeholders and third parties to ensure the delivery of a successful service.

May involve direct contact with members of the public including dealing with challenging situations where influence may be needed.

Liaise with and/or advise more senior members of staff regarding service issues, problems and processes.

Deal with people at all levels confidently, sensitively and diplomatically.



## Procedural Context

Reports directly to the Senior Internal Auditor.

The post holder has a professional responsibility to the Section 151 Officer (Strategic Director, Resources) and in carrying out their duties, enables them to fulfil the statutory requirements for internal audit and anti-fraud.

The Council is committed to continuously improving the quality of services, in line with its core objectives. Internal Audit and Anti-Fraud staff are responsible for assisting and ensuring that such initiatives are implemented successfully.

The post holder will work as part of the Internal Audit Team delivering a high-quality internal audit service and will have the opportunity to perform audits and advisory reviews across a full range of Council services, schools, Tenancy Management Organisations and companies in which the Council has an interest.

The post holder will be required to work within a procedural framework and regulatory guidelines; to work supervised as part of a team and help to provide support to clients and colleagues through applying knowledge of systems, procedures and best practice.

Act within guidelines and standard procedures with discretion to allocate or otherwise organise work to meet service delivery requirements. Works within laid down procedures but needs to deal with day-to-day problems without always referring to others.

Decisions will be made based on Council procedures.

Occasionally the post holder will be expected to work from other locations, including at different Council sites and those of other councils, including under shared services and partner organisations as required in order to complete the accountabilities set out above.

The post holder will be required to work hours as determined by service delivery requirements.

## Key Facts and Figures

Appropriate DBS Clearance is essential.

The post holder will attend a course of study to attain a professional level of accredited qualification from a designated learning provider.

The post holder maybe required to undertake such special assignments as may be necessary in the exigencies of the service.

To undertake any other duties consistent with the level and nature of the post, and in accordance with the Council's internal policies and procedures.



## Resourcing

Budget Responsibilities: Nil

Supervisory Responsibilities: Nil. Supporting and directing an apprentice to develop skills will be encouraged.

## Knowledge, Skills and Experience

- An understanding of the services provided by a local authority and the systems which support these types of services.
- An understanding of the principles, practices and techniques of risk based internal audit work.
- An understanding of the application of critical thinking, conceptual and analytical thinking.
- Undertaking internal audits and other reviews and analysing and interpreting data of all types to identify control weaknesses and prevent and detect fraudulent activity.
- Clear evidence gathering and recording skills and the ability to document the outcome of work undertaken clearly and accurately.
- Evidence of completing projects individually and as part of a team, and working to multiple deadlines simultaneously
- Experience of using MS Office/Office 365 for data collation and analysis and report writing
- Experience of Working to professional standards, particularly PSIAS and IPPF
- Good numeracy and English literacy skills
- Good written and oral communication skills, and the ability to communicate effectively at all levels within the Council, with third party organisations and members of the public.
- Strong interpersonal and communication skills.
- Ability to deal tactfully and responsibly with a range of people face to face, over the telephone, and in writing, including email.
- Good understanding of local government internal audit.
- An understanding of audit planning and risk management.
- Proven ability to work as part of a team, without detailed supervision, and to be self-motivated, display initiative, and effectively manage own workload.
- Good understanding of the Council's standards: i.e., confidentiality, diversity, health and safety, data protection, and the standards relating to the internal audit profession.
- Proven ability to maintain consistent quality of work and to work to quality and professional standards (PSIAS, IPPF, etc)
- Proven ability to make, record and present well-reasoned analysis.
- Ability to deal with difficult and confrontational situations.
- Proven ability to maintain discretion and confidentiality, with a sound working knowledge of the provisions of the Data Protection and Freedom of Information legislation.

## Indicative Qualifications

Level 4 apprenticeship (including IIA Certificate in Internal Audit and Business Risk and Certified Internal Auditor (CIA) Part 1 – Essentials of Internal Auditing) or equivalent, which may include certificate of higher education (CertHE), higher national certificate (HNC), level 4 NVQ.

Successful candidates will also have full access to the Council's internal professional development training. Additional training will be provided on Council systems that are



required to fulfil duties.

The above profile is intended to describe the general nature and level of work performed by employees in this role. It is not intended to be a detailed list of all duties and responsibilities which may be required. This role profile will be supplemented and further defined by annual objectives, which will be developed in conjunction with the post holder. It will be subject to regular review and the Council reserves the right to amend or add to the accountabilities listed.