

JOB DESCRIPTION

JOB DETAILS:

Job Title	Principal Auditor
Pay Band	6
Hours of Work and Nature of Contract	Flexible working; Permanent
Division/Directorate	Audit and Assurance Services
Department	Audit and Assurance Services
Base	South Wales (Bases in: Cardiff, Pontypool, Swansea, Carmarthen, Nantgarw)

ORGANISATIONAL ARRANGEMENTS:

Managerially Accountable to:	Head of Internal Audit, Deputy Head of Internal Audit, Internal Audit Manager
Reports to: Name Line Manager	Head of Internal Audit, Deputy Head of Internal Audit, Internal Audit Manager
Professionally Responsible to:	Director of Audit and Assurance Services

JOB SUMMARY/ PURPOSE:

This role within Audit and Assurance will involve work across a range of NHS organisations, from the health boards, across to the specialist trusts. As a principal auditor you will be responsible for the delivery of work to a number of our NHS Wales clients across South Wales.

You will be either studying for a relevant professional qualification with part-qualification status achieved, or have an equivalent qualification together with internal audit experience.

Reporting to one of our internal audit managers, or Head of Internal Audit/Deputy Head of Internal Audit, you will enjoy considerable autonomy and responsibility for the delivery of internal audit services across a varied and interesting range of areas, working individually or as part of a small team. In doing so you will have wide exposure to key managers and directors, as well as the processes, structures and activities of the organisations you work with.

In line with the Public Sector Internal Audit Standards (PSIAS), and our own quality manual you will help in the delivery of our strategic (three year), and annual internal audit plans for our clients.

You will liaise with managers, senior managers and directors at the NHS organisations to develop the scope of our audit work.

You will allocate tasks to junior staff members and manage their performance on individual audits, and deliver work within agreed budgets and timescales.

You will also attend at pre-audit and feedback meetings with the Deputy Head of Internal Audit /Internal Audit Manager and management from the NHS organisation as appropriate.

DUTIES and RESPONSIBILITIES:

Duties and responsibilities for our principal auditors may include:

- Supporting the senior internal audit team to develop and deliver the annual audit plan for a number of NHS organisations in line with our quality manual, and the Public Sector Internal Audit Standards.
- Contributing to the development of our strategic, three-year plan, for the NHS organisations that we work with.
- Allocating tasks to junior staff members while supporting and managing their performance on individual audits, and delivering work within agreed budgets and timescales.
- Attending pre-audit scoping meetings with management from the NHS organisation.
- Undertaking research, with the support of internal audit colleagues, so that we can develop scoping documents for discussion with senior management.
- Being the lead auditor for a range of complex internal audit assignments at a number of NHS organisations. This will include all stages of the reviews including planning and prioritising work, testing, analysis of complex information and commenting on required policy and/or procedural improvements.
- Delivering audit assignments at a number of locations and settings, both clinical and non-clinical. A significant proportion of internal audits take place within hospitals and can involve testing in settings where patient care is provided.
- The opportunity to undertake work and develop skills and experience in one of our specialist audit areas such as capital and estates audit, and IT and data audit.
- Writing high quality audit reports to a standard that can be presented at Board or Audit Committee that summarise key findings and make recommendations for improvements to procedures, governance, risk and control systems.
- Attending feedback meetings and report discussion meetings with

senior managers in order to highlight the significance of the audit findings and negotiate recommendations for improvements.

- Working under your own initiative, with limited supervision, following the allocation of assignments from the annual audit plans.
- Supporting the development of junior staff on specific audit assignments, including giving instruction and training in respect of key aspects of the audit process and significance of audit findings. This will include the planning and prioritisation of specific tasks for junior staff working on the assignments.
- Following up audit reports to ensure compliance with agreed recommendations and action plans.
- Providing advice, guidance and instruction to staff at NHS organisations, as required, and identifying opportunities for value for money and cost improvements.
- Attending meetings where management may be resistant to the audit review and particularly to audit findings in respect of potentially sensitive and contentious issues.
- Analysing information to identify and support audit findings.
- Scheduling of audit assignment meetings with senior management at NHS organisations.
- To undertake any other tasks relevant to the objectives of internal audit.

General Requirements

Competence

At no time should the post holder work outside their defined level of competence. If there are concerns regarding this, the post holder should immediately discuss them with their manager/supervisor. Employees have a responsibility to inform their supervisor/manager if they doubt their own competence to perform a duty.

Professional Bodies

All employees of the NWSSP who are required to register with a professional body, to enable them to practice within their profession, are required to comply with their code of conduct and requirements of their professional registration.

Supervision

Where the appropriate professional organisation details a requirement in relation to supervision, it is the responsibility of the post holder to ensure compliance with this requirement. If employees are in any doubt about the existence of such a requirement they should speak to their Manager.

Risk Management

It is a standard element of the role and responsibility of all staff of NWSSP that they fulfil a proactive role towards the management of risk in all of their actions. This entails the risk assessment of all situations, the taking of appropriate actions and reporting of all incidents, near misses and hazards.

Records Management

As an employee of NWSSP, the post holder is legally responsible for all records that they gather, create or use as part of their work within organisation (including patient health, financial, personal and administrative), whether paper based or on computer. All such records are considered public records, and the post holder has a legal duty of confidence to service users (even after an employee has left the organisation). The Post holder should consult their manager if they have any doubt as to the correct management of records with which they work.

Health and Safety Requirements

All employees of NWSSP have a statutory duty of care for their own personal safety and that of others who may be affected by their acts or omissions. The post holder is required to co-operate with management to enable the organisation to meet its own legal duties and to report any hazardous situations or defective equipment. The post holder must adhere to NWSSP's risk management, health and safety and associated policies.

Flexibility Statement

The duties of the post are outlined in this job description and person specification and may be changed by mutual agreement from time to time.

Confidentiality

The post holder must at all times be aware of the importance of maintaining confidentiality and security of information gained during the course of their duties. This will in many cases include access to personal information relating to service users. The post holder must treat all information whether corporate, staff or patient information in a discreet and confidential manner in accordance

with the provisions of the data protection act 1998 and organisational policy.

Promoting Diversity and Dignity at Work

NWSSP is committed to promoting diversity in employment and dignity at work. It recognises that discrimination and harassment is unacceptable and that it is in the best interests of the organisation and the population it serves to utilise the skills of the total workforce. The post holder must comply with and adhere to the equal opportunities and dignity at work policies.

PERSON SPECIFICATION

ATTRIBUTES	ESSENTIAL	DESIRABLE	METHOD OF ASSESSMENT
<p>Qualifications and/or Knowledge</p>	<p>Currently studying for a relevant professional qualification with part-qualification status achieved <u>or</u> equivalent qualification together with internal audit experience in line with the job description, <u>or</u> relevant professional qualification (CCAB – e.g. IIA, CIPFA, ACCA, CIMA)</p> <p>Internal audit experience - NHS/public sector experience will be an advantage</p> <p>Attendance at relevant courses to gain specialist knowledge and understanding of up to date audit techniques</p> <p>Evidence of continuing professional development</p> <p>A high level of knowledge of:</p> <ul style="list-style-type: none"> • Public Sector Internal Audit Standards • Best practice • IT auditing • Risk Management and Assurance Frameworks • Corporate Governance • Controls Assurance • Control Frameworks • Stewardship & 	<p>Knowledge of:</p> <p>NHS Wales governance and finance regimes</p> <p>Current developments and strategies within NHS Wales</p> <p>NHS clinical governance</p>	<p>Application Form</p> <p>Interview</p> <p>Certificates</p>

	Probity		
Experience	<p>Experience of undertaking a variety of audit reviews (e.g. financial, governance, risk management, capital, human resources), including detailed analysis of different types of information</p> <p>Experience of leading on, and delivering, audit assignments to a variety of organisations and liaising with client managers</p> <p>Excellent communication and report writing skills</p> <p>A good level of knowledge of internal audit including relevant standards and good practice</p> <p>Knowledge and experience of using and auditing a range of IT systems</p> <p>Presentation of complex and potentially sensitive information where management may be resistant to findings</p> <p>Experience of working within a highly complex and politically sensitive organisation</p> <p>Working with senior management and attendance at pre-audit and feedback meetings</p>	<p>Experience of performing data interrogations</p> <p>Financial and risk management aspects of NHS legislation and NHS policies</p>	<p>Application Form Interview</p>
Aptitude and Abilities	<p>Ability to plan, control and carry out audit assignments</p>		<p>Application Form</p>

	<p>Ability to organise assigned tasks and work under own initiative</p> <p>Ability to identify systems weaknesses and to use initiative/internal control knowledge to provide management with practical solutions</p> <p>Good interpersonal, communication and presentation skills</p> <p>Good analytical, interpretational and comparative skills capable of dealing with complex and sensitive information</p> <p>Ability to work effectively both autonomously and as part of a team</p> <p>IT literate with practical computer application skills</p> <p>Ability to supervise and provide training /instruction to junior members of staff</p> <p>Highly committed and self motivated, with a commitment to high professional standards</p> <p>Emotionally resilient and able to respond to exposure to distressing or emotional circumstances</p> <p>Ability to work under pressure</p> <p>Need for intense concentration over a sustained period of time</p> <p>Ability to work flexibly</p>		<p>Interview</p> <p>References</p>
Other	Ability to travel in a	Welsh Speaker	Application

	<p>timely manner extensively between organisations and sites for meetings</p> <p>Ability to travel as auditors may need to be able to move between sites in good time</p>		Form
--	---	--	------