

# Job Specification

**Job Title:** Lead Auditor

**Grade:** g11

**Job Evaluation Code:** GS5448

**Reporting to:** Principal Audit Manager

**Manager's Grade:** TBA

**Location:** Wakefield One is the main base, audit staff are expected to work on site (i.e. relevant client base) which can be anywhere in the Wakefield District

**Service Area:** Internal Audit & Risk

**Service Directorate:** Chief Executive's Unit

**Workstyle:** Flexible

## Overall Purpose of the Post:

Reporting to the Principal Audit Manager, the Lead Auditor will be responsible for establishing and developing effective working relationships with a named directorate. This will involve:

- Direct interaction with the relevant corporate director and their management team.
- The effective use of good interpersonal skills (written and verbal) when dealing with a range of stakeholders.
- Working on your own initiative, being proactive in understanding the business needs, strategies, plans, risks and controls for that directorate.
- Developing a sound understanding of the Council's governance, risk management and control processes.
- Developing a risk-based internal audit plan for that directorate, including the use of assurance maps.
- Being insightful and future-focused in the provision of internal audit advice from a range of advisory, assurance, and consultancy work. This should contribute to the successful delivery of agreed strategies.
- Acting as a 'critical friend' to the directorate, helping to influence and improve the efficiency and effectiveness of the governance processes and control environment for mitigating strategic risks.
- Championing relevant good practice within the directorate, and across the Council.
- Delivering individual audit assignments within budget, expected timescales and expected professional standards.
- Attendance at their directorate management team meeting as part of the quarterly update reporting process.

They will also help in the delivery of audit work to any of our external clients. Whilst not being responsible for the full line management of staff they will be expected to mentor / coach more

junior members of the team. This may include on the job training and development for individual internal audit engagements.

<b>Requirements for the Post</b>		
<b>Criteria</b>	<b>Essential</b>	<b>Desirable</b>
<b>Qualifications/ Training</b>	<p>Full and active membership of a CCAB Body, <b>or</b>,</p> <p>Qualified to practitioner / certified level of the IIA (Institute of Internal auditors) and an active member.</p>	
<b>Knowledge</b>	<p>Internal auditing professional standards, for example the Public Sector Internal Audit Standards or International Performance Practice Framework.</p> <p>Sound knowledge of the concepts of governance, risk management, and control.</p> <p>An understanding of the importance of good ethical behaviour (e.g. the Nolan Principles).</p> <p>A sound understanding of the principles for risk-based internal audit planning and delivery, linking the work to strategic objectives, priorities and risks.</p> <p>Demonstrate a specialism/extensive knowledge and understanding in a specified field of audit activity, for e.g. IT audit, Procurement, and lead on that area of audit activity within the Audit Plan.</p> <p>Knowledge of the role of an audit committee and the importance of maintaining good professional relationships with our clients.</p> <p>Knowledge of computerised internal audit databases (e.g. MK Insight, Galileo, and Team Mate).</p> <p>Knowledge of word-processing, spreadsheets; e-mail, PowerPoint, Internet and computerised systems.</p>	<p>Knowledge of the benefits and risks associated with the use of computer-aided audit tools.</p> <p>Knowledge of Local Government Legislative, Corporate Governance and Performance Management frameworks and requirements.</p> <p>Knowledge of the Council's values, key priorities and objectives.</p>
<b>Experience</b>	<p>Post qualification experience of working within an internal audit environment.</p>	<p>Experience of direct line management of staff, i.e. appraisals, 1-2-1s, and the</p>

Requirements for the Post		
Criteria	Essential	Desirable
	<p>Demonstrable experience of establishing and maintaining good relationships with a wide range of stakeholders.</p> <p>Experience of planning, organising and managing complex workloads (e.g. value for money, risk management, governance, systems development).</p> <p>Experience of utilising assurance mapping for the development of risk-based plans.</p> <p>Proven experience of delivering high-level complex audits across a broad range of disciplines (e.g. value for money, risk management, governance, systems development).</p> <p>Undertaking internal audit work with minimal supervision.</p> <p>Experience of working with sensitive and confidential information within legislative requirements.</p> <p>Experience of identifying and resolving complex problems and solutions. This will include having demonstrable negotiation skills to positively influence change.</p>	<p>application of all relevant HR policies and procedures.</p>
<b>Physical Skills</b>	<p>Skilled in the use of technology including the use of databases, spreadsheets and word processing packages including the ability to manipulate data from a variety of sources to produce a range of documents and reports to a high standard.</p> <p>The post holder will be responsible for IT equipment associated with the post.</p>	
<b>Competencies and Other Skills</b>	<p><b>Refer to the attached professional competency framework.</b></p> <p>Able to work on own initiative and also as part of a team.</p>	<p>Experience of developing strategic frameworks and policy.</p>

Requirements for the Post		
Criteria	Essential	Desirable
	<p>Highly motivated and committed individual.</p> <p>Naturally inquisitive with good personal resilience, and an ability to work with people in a constructive manner.</p> <p>Mature personality and capable of fostering positive relationships with senior officers within a corporate directorate and across a wide range of contacts. This will involve acting as an agent for change, promoting relevant good practice to improve decision-making processes within the agreed corporate directorate, through the use of negotiation and persuasion.</p> <p>Manages conflict by negotiating and resolving disagreements.</p> <p>Highly developed interpersonal, oral and report writing skills when interacting with a range of stakeholders. This includes an ability to actively listen, anticipate reactions and plan responses in advance.</p> <p>Highly developed analytical skills with a creative approach to problem solving.</p> <p>Coaching, facilitation and training skills.</p> <p>Highly developed negotiation, influencing and persuasion skills obtained within sensitive and potentially volatile environments.</p> <p>Ability to lead internal audit work in complex and changing organisations.</p> <p>Selects and uses appropriate research, business intelligence and problem solving techniques to analyse and solve complex situations</p> <p>Assists management in finding practical solutions to address issues</p>	

Requirements for the Post		
Criteria	Essential	Desirable
	<p>identified through audit activity</p> <p>Utilises benchmarking research to support decisions and key messages</p> <p>Maintains independence and objectivity in all situations.</p> <p>Initiates and manages change within their sphere of responsibility (i.e. nominated directorate).</p> <p>Highly skilled in managing time and competing priorities effectively to deliver work to time, quality and budget.</p> <p>Creativity and flare in planning and decision making.</p> <p>Confidence in making decisions.</p>	

### Key Outcomes/ Activities

#### INTERNAL AUDIT

- 1 To assist in the provision of the internal audit function's requirement to provide an independent and objective annual audit opinion on the efficiency and effectiveness of the Council's adequacy of corporate governance, risk management and control arrangements. This should be in conformance to the Public Sector Internal Audit Standards and relevant statutory requirements.
- 2 To develop expertise and become the focal point for area(s) of specialism, providing direction, advice, support and guidance to auditors working in these areas to enable them to achieve maximum potential contribution.
- 3 The provision of advice / guidance to staff working in Service Areas on control / other issues as required.
- 4 To add value by keeping up to date with developments in the provision of the Internal Audit Service.
- 5 May be required to assist in the completion of counter-fraud work when investigations are being carried out.
- 6 To provide support to a particular directorate and play a key role on project boards in shaping the future.
- 7 To mentor and guide staff members with less experience.
- 8 Under the leadership of the Principal Audit Manager to:

- Plan, organise and control audit work within your individual audit plan recognising best practice guidance, the operation of Council Financial Procedure Rules / Contract Procedure Rules and adherence to current Internal Audit Manual.
- Assist staff in carrying out internal audit work.
- Carry out audit work within agreed time and budget requirements, as well as professional standards (i.e. the Public Sector Internal Audit Standards and the Internal Audit Manual).
- Assist staff and provide training on audit work as required.
- Maintain and develop contacts with outside organisations, which have relevance to the nominated areas of work.
- Assist the Audit Management Team in securing continuous improvement to the Internal Audit Service, by becoming involved in development activities as.

**The duties and responsibilities highlighted in this Job Specification are indicative and may vary over time. Post holders are expected to undertake other duties and responsibilities relevant to the nature, level and scope of the post and the grade has been established on this basis.**

## **Responsibility for Resources**

### **Employees (Supervision):**

No direct line management responsibilities but the post holder will be required to supervise a number of members of an Internal Audit Team, and supervise tasks within areas of work allocated to them.

### **Financial:**

No direct financial responsibilities. However, the post holder may assist in investigations or audit work that involves the handling of cash under the control of another officer.

The post holder will be expected to provide unbiased, professional and independent opinion and advice directly to Corporate Directors and Managers on matters of internal control and complex financial arrangements as part of the process for delivering the internal audit annual plan.

### **Physical:**

Direct responsibility for IT equipment utilised by the Audit Manager and indirect responsibility for IT equipment made available to staff within the Team.

### **Service Users:**

High-level contacts across the Authority, including Corporate Directors and Heads Of Service. High-level contact with outside organisations such as the Council's External Auditors and Senior Management with the Councils partner organisations.

Customers / clients cover all employees and Members of the Council, plus representatives of partner or other external organisations associated with carrying out the functions of Wakefield

Council. These people are engaged with in checking the extent to which they operate adequate procedures to manage risks for which they are responsible.

### **Working Conditions:**

Due to the nature of the work the post holder will need to have good personal resilience, as they may have to deal with unpleasant behaviour and/or difficult conversations. They will also be expected to use their own initiative, working independently, when developing relevant risk-based internal audit plans with the relevant directorates.

Office based with strong ICT requirements, the post holder will normally work indoors within an office environment, (including customer / client locations), with opportunities to work from home where appropriate. This is through a local working agreement in relation to flexible working, which is reviewed on an annual basis.

The post holder has the option to work in accordance with this agreement or work the Council's core hours.

### **Characteristics of the post:**

The post holder will regularly come into contact with high level contacts across the Authority including Corporate Directors and Service Directors. High-level contact with outside organisations such as our external clients and local benchmarking groups will also be necessary.

The post holder will be expected to provide unbiased and professional opinions and advice directly to Corporate Directors and Managers on matters of risk control.

The post holder will design and participate in presentations and training sessions to Internal Audit staff and officers.

The post holder will be expected to travel to Council offices across the district as required for conduct of the work and may be required to work/travel outside office hours.

#### **The employment checks are required:**

- **Evidence of entitlement to work in the U.K.**
- **Evidence of essential qualifications**
- **Two satisfactory references, one from your most recent employer**
- **Confirmation of medical fitness for employment**
- **Registration with appropriate bodies (where applicable)**

**Date completed:** 7<sup>th</sup> June 2021