

## JOB DESCRIPTION

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|------------------------------|--|--------------------------|
| <b>JOB TITLE:</b>            | Senior Auditor   | <b>JE NUMBER:</b> A13402 |
| <b>DIRECTORATE:</b>          | Finance  | <b>BAND:</b> 10          |
| <b>RESPONSIBLE TO:</b>       | Head of the Internal Audit Consortium  |                          |
| <b>RESPONSIBLE FOR:</b>      | Team of Auditors   |                          |
| <b>MAIN PURPOSE OF POST:</b> | <p>To manage, develop and continuously improve the audit team.</p> <p>To support the development of strong risk, corporate governance and assurance arrangements for each council within the Consortium</p> <p>To ensure that all aspects of the Public Sector Internal Audit Standards are met.</p> |                          |

### **DUTIES AND RESPONSIBILITIES:**

Duties and responsibilities must be undertaken to comply with Council policies/procedures.

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| 1.  | To undertake audits covering the full range of modern internal audit techniques in line with the Public Sector Internal Audit Standards. This includes the main financial systems audits, operational audits, cross cutting, contract audit, IT, fraud, VFM and probity audits, in all departments of the constituent authorities. |
| 2.  | To act as the key contact of the Internal Audit Consortium on site and to respond to enquiries from all clients on governance, risk and financial control in respect of audit related matters.   |
| 3.  | To review the audit work completed by Auditors to ensure consistently high quality standards in line with the Public Sector Internal Audit Standards   |
| 4.  | Day to day supervision, provision of guidance and training of Auditors assigned to your team ensuring compliance with agreed quality standards and time allocations.   |
| 5.  | To attend close out meetings with auditors when requested or where it is deemed appropriate by the Senior Auditor/Head of the Internal Audit Consortium for example if an audit area has been given Limited or Inadequate assurance and where high levels of tact and diplomacy may be required.                                   |
| 6.  | To undertake the day to day line management of Auditors including but not restricted to Performance Management Reviews, approval of Auditor's annual leave, sickness absence reviews and disciplinary and grievance issues. To aid in the recruitment process of Auditors.   |
| 7.  | To prepare monthly / quarterly work plans for your team and to agree the timing of audits with clients in order to implement the agreed strategic internal audit plans   |
| 8.  | To develop risk based test schedules in respect of new, emerging and sometimes complex audit areas   |
| 9.  | To review and update all test schedules before they are issued to the Auditors ensuring that they cover key risks and the controls required to mitigate those risks.   |
| 10. | To provide advice on the adequacy of controls in respect of new initiatives and new or changing systems.   |

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| 11. | To deputise for the Head of the Internal Audit Consortium at meetings including but not restricted to Audit Committees, Quarterly Directorate meetings, Risk Management Group and Corporate Leadership Team where required.  |
| 12. | To advise the Head of the Internal Audit Consortium on situations or topics which need to be considered for inclusion in the internal audit plan.  |
| 13. | To liaise with external auditors, or other organisations, both in respect of work carried out, investigations etc.   |
| 14. | To undertake and supervise special investigations.   |
| 15. | To attend, if required, disciplinary hearings, Industrial Tribunals, Court etc as a witness.   |
| 16. | <p>Responsibilities also include:-</p> <ul style="list-style-type: none"> <li>• Discussing the scope and objectives of the audits you are leading on with the client concerned</li> <li>• Completing the audit test schedules and updating these where required</li> <li>• Compiling comprehensive and accurate working papers and files (both manually and electronically) recording details of the audit work carried out.</li> <li>• Preparing draft reports of the matters arising during audits for consideration by the Head of the Internal Audit Consortium prior to submission to the client/ concerned.</li> <li>• Discussing the findings and recommendation of the audit with the client in respect of your own audits.</li> </ul> |
| 17. | The post holder will utilise and interrogate any of the Council's numerous computer systems and databases as required to ascertain information in order that audit tests may be completed.   |
| 18. | To complete audits within allocated budget and report to the Head of the Internal Audit Consortium where potential variations may arise.   |
| 19. | To attend and participate in internal working parties or groups when requested as a representative of the Internal Audit Consortium. To attend the Nottinghamshire and Midlands Audit Groups, Local Authority Chief Auditors Network etc as a representative of the Internal Audit Consortium.   |
| 20. | To review and advise on policies, procedures, guidance notes and regulations   |
| 21. | To continually assess governance arrangements, risks and controls involved in operations audited and to advise the Head of the Internal Audit Consortium of additional areas of concern.   |
| 22. | To contribute to the continual improvement of service standards, customer satisfaction and performance management.   |
| 23. | To assist the Head of the Internal Audit Consortium in ensuring that completed implementation schedules are returned and that all audit recommendations are implemented.   |
| 24. | To foster positive working relationships with key stakeholders to facilitate the audit process and to provide effective support and advice as required.  |
| 25. | To provide cover for colleagues across the Consortium as required and undertake any other duties which are in line with the grade of the post.   |

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| <b>GENERAL – To be aware of and implement the following:</b>  |
| <b>Equalities</b> – The council’s Equality and Diversity Policy which sets out the council’s commitment to advancing equality and social inclusion while celebrating the diversity within our communities.  |
| <b>Code of Conduct</b> – All employees of Chesterfield Borough Council must comply with the Employees’ Code of Conduct.   |
| <b>Health &amp; safety</b> – To comply with the Health and Safety at Work etc. Act (1974) and carry out all duties in accordance with the Council’s Health and Safety policy.   |
| <b>Staff Development</b> - The Council's Performance & Development Review is an integral part of Chesterfield Borough Council’s performance management framework as well as a key employee development procedure. You will be required to undertake any training required for the job role.   |
| <b>Data Protection</b> – All employees must adhere to the requirements of the General Data Protection Regulations (GDPR) and the Data Protection Act 2018 in respect of confidentiality and disclosure of data.   |
| <b>Safeguarding Children and Vulnerable Adults</b> - The council has both a moral and legal obligation to ensure a duty of care for children and vulnerable adults across its services. We are committed to ensuring that all children and vulnerable adults are protected and kept safe from harm, and we have a responsibility to safeguard and promote well-being. |
| <b>Climate Change</b> – The council’s commitment to becoming a carbon neutral organisation by 2030 and to support the wider Borough to become carbon neutral by 2050 in line with the Council’s Climate Change Strategy.  |

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| <b>SPECIAL FEATURES OF POST:</b>  |     |            |    |   |
| Political Restriction   | YES |            | NO | ✓ |
| Vetting Checks e.g. Disclosure and Barring Service (DBS). This will be a basic disclosure check only to allow access to the National Fraud Initiative database. The appointed person will need to apply directly to the Disclosure and Barring Service. | YES | ✓<br>basic | NO |   |
| Flexible approach to time of work, with ability to work evenings and weekends as required by the needs of the service.  | YES |            | NO | ✓ |
| You will be allocated an office base, however you may be required to carry out your duties at any of the Consortiums premises (Chesterfield Borough Council, North East Derbyshire District Council and Bolsover District Council).                     | YES | ✓          | NO |   |

It is the council’s intention that this job description is seen as a guide to the main areas and duties for which the job holder is accountable. However, as the work that the council changes the job holder’s obligations are also bound to vary and develop, so the job description should be seen as a guide and not as a permanent, definitive and exhaustive statement. This job description is non-contractual.

## PERSON SPECIFICATION

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|---------------------|----------------|-------------------|-----------|
| <b>JOB TITLE:</b>   | Senior Auditor | <b>JE NUMBER:</b> | A13402    |
| <b>DIRECTORATE:</b> | Finance        | <b>DATE:</b>      | July 2022 |

| <b>KNOWLEDGE / SKILLS / ABILITIES</b> |  | <b>Assessment Method</b>   |
|---------------------------------------|--|--|
| -                                     |  | Application Form, Presentation, Scenario based Exercise, Interview, Qualification / Certificates |
| <b>Essential</b>                      |  |  |
| •                                     | Ability to communicate assertively with all levels of personnel  | Application Form / Interview   |
| •                                     | Ability to work to deadlines with a minimum of supervision and to plan ahead in terms of organising workloads for yourself and your team | Application Form / Interview   |
| •                                     | Ability to provide clear, balanced advice and guidance on governance, risk and control issues.   | Application Form / Interview   |
| •                                     | Have an eye for detail with the ability to see the bigger picture and apply pragmatic solutions whilst using initiative                  | Application Form / Interview   |
| •                                     | Ability to work accurately with figures and to extract and analyse complex financial or management information                           | Application Form / Interview   |
| •                                     | Ability to train and motivate a team to enable high performance and to foster a positive working environment                             | Application Form / Interview   |
| •                                     | Ability to maintain accurate and concise working papers  | Application Form / Interview   |
| •                                     | Developed analytical, negotiating and influencing skills using tact and diplomacy  | Application Form / Interview   |
| •                                     | Ability to produce accurate and concise audit and other reports  | Application Form / Interview   |

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| •                     | Knowledge of current internal audit techniques and the Public Sector Internal Audit Standards requirements   | Application Form / Interview |
| •                     | Knowledge of computerised accounting and other financial systems   | Application Form / Interview |
| •                     | As part of the duties and responsibilities of this post, you will be required, and must therefore have the ability, to travel to other locations within the Consortium area. | Application Form             |
| <b>Desirable</b>      |  |                              |
| •                     | Knowledge of local government or the public sector   | Application Form / Interview |
| •                     | Ability to work effectively in three different partner authorities, adapting to their systems and cultures   | Application Form / Interview |
| <b>EXPERIENCE</b>     |  |                              |
| <b>Essential</b>      |  |                              |
| •                     | A minimum of two years experience in an audit environment  | Application form             |
| •                     | Experience in the operation of computerised financial systems  | Application form / Interview |
| •                     | Experience in the operation of Microsoft Office Software   | Application form             |
| <b>Desirable</b>      |  |                              |
| •                     | Previous Local Government or public sector experience  | Application form             |
| •                     | Experience in the supervision of staff   | Application form / Interview |
| <b>QUALIFICATIONS</b> |  |                              |
| <b>Essential</b>      |  |                              |
| •                     | Association of Accounting Technicians qualified or part qualified member of an Accounting Institute (or Equivalent) or an accounting   | Qualification / certificates |

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|                                | degree, or equivalent, or have an equivalent level of organisational and procedural knowledge  |                              |
| <b>Desirable</b>               |  |                              |
| •                              | Full Accountancy or Institute of Internal Auditors qualification   | Qualification / certificates |
| <b>OTHER REQUIREMENTS</b>      |  |                              |
| <b>Essential</b>               |  |                              |
| •                              | To display the council's values and behaviours when carrying out the job role  | Application Form, Interview  |
| •                              | To perform the job role in accordance with the specified level of the council's Competency Framework   | Application Form, Interview  |
| •                              | Commitment to self-development, service improvement and organisational effectiveness   | Application Form, Interview  |
| <b>COMPETENCY REQUIREMENT:</b> |  |                              |
| <b>Seeing the Big Picture</b>  | <p>Seeing the big picture is about having an in-depth understanding and knowledge of how your role fits with and supports the council plan and the wider public needs and the national interest. For all staff, it is about focusing your contribution on the activities which will meet the council goals and deliver the greatest value.</p> <p>For leaders, it is about scanning the political context and taking account of wider impacts to develop long term implementation strategies that maximise opportunities to add value to the customer and support economic, sustainable growth.</p>  | Interview                    |
| <b>Level: 2</b>                |  |                              |
| <b>Changing and Improving</b>  | <p>People who are effective in this area take initiative, are innovative and seek out opportunities to create effective change. For all staff, it's about learning from what has worked as well as what has not, being open to change and improvement, and working in 'smarter', more focused ways.</p> <p>For leaders, this is about creating and encouraging a culture of innovation and allowing people to consider and take informed decisions. Doing this well means continuously seeking out ways to improve policy implementation and build a leaner, more flexible and responsive council. It also means making use of alternative delivery models including digital and partnership approaches wherever possible.</p> | Interview                    |
| <b>Level: 2</b>                |  |                              |

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| <b>Making Effective Decisions</b>   | <p>Effectiveness in this area is about using sound judgement, evidence and knowledge to arrive at accurate, expert and professional decisions and advice. For all staff it's being careful and thoughtful about the use and protection of council and public information to ensure it is handled securely and with care.</p> <p>For leaders it's about reaching evidence based strategies, evaluating options, impacts, risks and solutions and creating a security culture around the handling information. They will aim to maximise return while minimising risk and balancing a range of considerations to provide sustainable outcomes.</p> | Interview |
| <b>Level: 2</b>                     |  |           |
| <b>Leading &amp; Communicating</b>  | <p>At all levels, effectiveness in this area is about showing our pride and passion for public service, communicating purpose and direction with clarity, integrity, and enthusiasm.</p> <p>It's about championing difference and external experience and supporting principles of fairness of opportunity for all.</p> <p>For leaders, it is about being visible, establishing a strong direction and persuasive future vision; managing and engaging with people in a straightforward, truthful, and candid way.</p>   | Interview |
| <b>Level: 2</b>                     |  |           |
| <b>Collaborating and Partnering</b> | <p>People skilled in this area are team players. At all levels, it requires working collaboratively, sharing information appropriately and building supportive, trusting and professional relationships with colleagues and a wide range of people within and outside the council, whilst having the confidence to challenge assumptions.</p> <p>For senior leaders, it's about being approachable, delivering business objectives through creating an inclusive environment, welcoming challenge however uncomfortable</p>  | Interview |
| <b>Level: 2</b>                     |  |           |
| <b>Developing self and others</b>   | <p>Effectiveness in this area is having a strong focus on continuous learning for oneself, others and the organisation. For all staff, it's being open to learning, about keeping one's own knowledge and skill set current and evolving.</p> <p>For leaders, it's about investing in the capabilities of our people, to be effective now and in the future as well as giving clear, honest feedback and supporting teams to succeed. It's also about creating a learning and knowledge culture across the organisation to inform future plans and transformational change</p>   | Interview |
| <b>Level: 2</b>                     |  |           |
| <b>Delivering Value for Money</b>   | <p>Delivering value for money involves the efficient, effective and economic use of taxpayers' money in the delivery of public services. For all staff, it means seeking out and</p>   | Interview |
| <b>Level: 2</b>                     |  |           |

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|  | <p>implementing solutions which achieve the best mix of quality, and effectiveness for the least outlay. People who do this well base their decisions on evidenced information and follow agreed processes and policies, challenging these appropriately where they appear to prevent good value for money.</p> <p>For leaders it's about embedding a culture of value for money within their area/function. They work collaboratively across boundaries to ensure that the council maximises its strategic outcomes within the resources available</p>   |           |
| <p><b>Managing a Quality Service</b></p> | <p>Effectiveness in this area is about valuing and modelling professional excellence and expertise to deliver service objectives, taking account of diverse customer needs and requirements. People who are effective plan, organise and manage their time and activities to deliver a high quality, secure, reliable and efficient service, applying programme, project and risk management approaches to support service delivery.</p> <p>For leaders, it is about creating an environment to deliver operational excellence and creating the most appropriate and cost effective delivery models for public services</p> | Interview |
| <p><b>Level: 2</b></p>                   |   |           |
| <p><b>Delivering at Pace</b></p>         | <p>Effectiveness in this area means focusing on delivering timely performance with energy and taking responsibility and accountability for quality outcomes. For all staff, it's about working to agreed goals and activities and dealing with challenges in a responsive and constructive way.</p> <p>For leaders, it is about building a performance culture where staff are given space, authority and support to deliver outcomes. It's also about keeping a firm focus on priorities and addressing performance issues resolutely, fairly and promptly</p>   | Interview |
| <p><b>Level: 2</b></p>                   |   |           |