

JOB DESCRIPTION

JOB DETAILS	
Job Title	Digital Audit and Assurance Manager
Reports to	Assistant Director of Audit and Assurance Services
Band	8a
Department/Directorate	Finance – internal audit (ASW Assurance)

JOB PURPOSE
<p>Responsible for delivering the digital audit service to NHS and non-NHS organisations in line with internal audit's statutory responsibility to independently and objectively review, evaluate and report on the adequacy of client's systems of internal control.</p> <p>The Digital Audit and Assurance Manager will support the ASW Assurance Senior Management Team (SMT) in the delivery, leadership and development of the digital audit service across all ASW Assurance clients.</p>

KEY RESULT AREAS/PRINCIPAL DUTIES AND RESPONSIBILITIES
<ul style="list-style-type: none"> Working with the ASW Assurance SMT and the internal audit team, contribute to, refine, develop and deliver the digital audit and related services strategy. Being responsible for the professional leadership of the delivery and development of the digital audit service to clients, through a designated team of auditors and other staff, promoting and ensuring consistency of planning and delivery of digital audit work, ensuring it is completed within timescales as stated in the audit plan of the client/agreed with the Assistant Directors/Audit and Assurance Managers, as appropriate. Being responsible for delivery of end-to-end audits in line with the internal audit plan, including high level and high visibility assignments, ensuring that suitable assurances are given. This will include being the named digital audit lead for a portfolio of clients. Ensure that all allocated audit work confirms to the expectations of the quality standards and professional expectations (duty of care, independence etc.) as stated in the Public Sector Internal Audit Standards and the ASW Assurance Audit Manual and to agreed timescales. Audit assignments cover any aspect of digital activity and Information Governance, from high level strategic, governance and management aspects via procurement, operational and service aspects and applications (clinical, financial etc.) to in depth technical reviews involving networks, hardware and software and digital projects. On occasions, audit assignments will cover non-digital areas. Delivering a range of other digital audit services including consultancy, project assurance, training and special projects. Advising Directors, Senior Managers and other client staff on highly complex issues, such as digital risk management and Assurance Frameworks, where precedents may not exist. Applying risk management and assurance principles to the planning and delivery of digital audit work, at both an operational and strategic client level, ensuring consistency of planning through promoting the value and impact of specialist digital audit work, both internally and with clients. Responding to and anticipating a broad range of requests for advice and assistance and queries from senior client staff and audit staff on a range of highly specialist, sensitive and complex issues. Ensuring that highly complex, high risk, material and sensitive issues are identified and reported to the relevant client Director, Audit Committee, client Board and, where appropriate, client Chair. Contributing to the corporate development of ASW Assurance and the training of audit and other NHS/non-NHS staff in digital audit and related areas. Working with the ASW Assurance SMT to identify strategic and service development opportunities for the digital audit service and related areas. This will include undertaking major pieces of research and development to ensure that future client needs and development opportunities are identified and addressed.

- Delivering elements of the strategic and operational development and marketing of new service and products, as directed by the Director of Audit and Assurance Services.
- Responsible for the overall management of digital audit and staff, including ensuring there is sufficient resource to ensure delivery of the agreed annual Audit and Assurance plans in accordance with time, cost and staff budgets and quality standards.
- Ensure that complex, high risk, material and sensitive issues are identified to the Director of Audit and Assurance Services/Deputy Director of Audit and Assurance Services for suitable reporting to the relevant client Director, Audit Committee, client Board and, where appropriate, client Chair.

KEY WORKING RELATIONSHIPS

Areas of Responsibility:

Responsible for delivering the digital audit service to NHS and non-NHS organisations in line with internal audit’s statutory responsibility to independently and objectively review, evaluate and report on the adequacy of client’s systems of internal control.

No. of Staff reporting to this role: 3

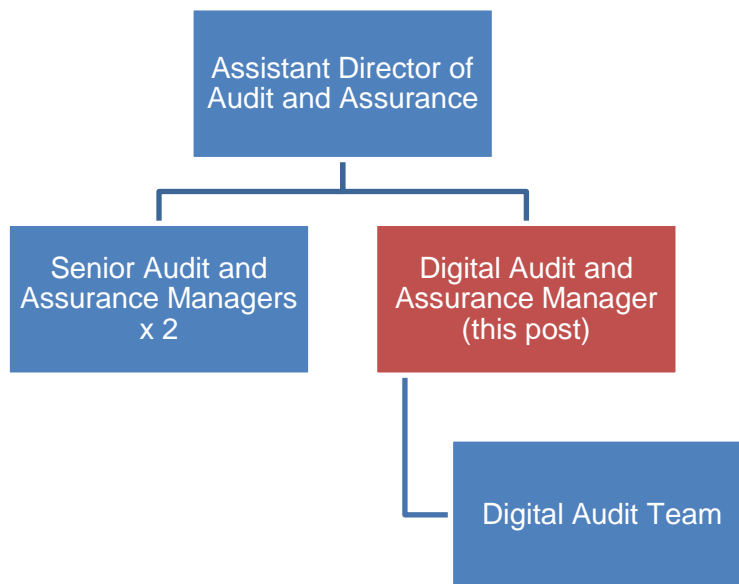
The post holder is required to deal effectively with staff of all levels throughout ASW Assurance and its clients as and when they encounter on a day to day basis.

This will include verbal, written and electronic media.

Of particular importance are working relationships with:

Internal to the ASW Assurance	External to ASW Assurance
<ul style="list-style-type: none"> • Director of Audit and Assurance Services. • SMT. • Senior Audit and Assurance Managers. • Audit Team. • Counter Fraud Team. • Business Support Team. 	<ul style="list-style-type: none"> • ASW Assurance associates and delivery partners. • Client staff i.e. Directors of Finance, Chief Finance Officers, other Executives. • Client Audit Committees. • External Audit.

ORGANISATIONAL CHART



FREEDOM TO ACT

The post holder will:

- Work with a great level of autonomy to achieve the delivery of digital audit elements of the client operational internal audit plans, ensuring that IT audit work is delivered with a minimal level of line management supervision. This will include the ongoing review of the relevancy of planned areas, achievement of plan delivery and the identification of in year changes to the plan. Digital audit work will include risk and systems-based audits, project quality assurance and special investigations covering all aspects of IT e.g. strategies, policies & procedures, operations & service to other organisations, networks, hardware, software, application systems, security, projects involving digital, Information Governance, procurement, contingency arrangements and, on occasions, non-digital areas.
- Review the quality of digital audit assignments, including the files and reports, to ensure that national Public Sector Internal Audit Standards and ASW Assurance professional and quality standards are met and to ensure that External Auditors can place reliance on work undertaken. Audit reports produced should incorporate an audit opinion, which contains relevant recommendations to address risk issues and control weaknesses and an agreed action plan to address control weaknesses. These reports should be of an adequate standard for approval by the Director of Audit and Assurance Services.
- Ensure that information obtained during the course of audits is robust in order to make sound judgements on risk issues and design of systems of internal control the client has introduced to manage risk.
- Act as the Lead Auditor, to perform all elements of risk-based audit assignments over a broad range of digital audit and other assignments (in line with the audit process as set out by the ASW Assurance Audit Manual), including high risk and high visibility audit reviews of a highly complex/ad hoc nature across a number of clients as directed by the Assistant Directors of Audit and Assurance Services as appropriate. This will include consultancy work, involving the analysis of very complex, confidential information from clients and providing clear judgements based on that analysis.
- In conjunction with the Assistant Directors of Audit and Assurance Services, anticipate and undertake predictive, specific research into general and NHS digital areas as appropriate in accordance with client operational internal audit plans in order to identify risk areas, control objectives and expected controls. To apply the results of research to develop appropriate audit policies, procedures and approaches that can be applied across all ASW Assurance clients. This will include the development of specific expert knowledge in areas agreed with the Director of Audit and Assurance Services, to influence and develop the digital audit service to deliver significant added value to clients.
- To assist in the production of internal audit agenda and papers, in a format specified by the Director of Audit and Assurance Services, for client committees in respect of digital audit activities and related subjects. To attend Audit Committees and other committees (e.g. Governance Committee, Risk Management Committee) as required.
- Interpret technical policy and advise the organisation accordingly on digital specialist areas that arise in the course of their work. Keep the Assistant Directors of Audit and Assurance appropriately briefed at all times in respect of significant issues on the work being undertaken along with performance problems. Liaise closely and co-ordinate with digital audit colleagues, the general audit team, staff in other ASW Assurance offices, with External Audit staff and Local Counter Fraud Specialists, to ensure the most effective use of information, working arrangements and resources. This may involve joint working and shared assurance.
- Represent ASW Assurance at meetings, conferences, seminars, training courses etc.
- Present information in a formal setting to both client and ASW Assurance staff.

COMMUNICATION/RELATIONSHIP SKILLS

The postholder will:

- Respond to and anticipate queries from clients and external agencies, often of a highly complex, sensitive and confidential nature, across a diverse and challenging client base, and investigate as necessary. These queries may relate to highly complex issues requiring a detailed understanding of client's risks, NHS systems and existing guidance.

- Maintain an effective working relationship with colleagues and client staff at the highest level, including the Board, to ensure the delivery of a professional service focused on achieving a high level of customer satisfaction. This will include:
 - Exploring and discussing issues with client staff from a range of disciplines, up to and including Board level, to elicit relevant information in the course of the digital audit assignment, sometimes in a challenging environment and to identify issues which cross organisational boundaries.
 - Persuading and negotiating the reasoning behind contentious recommendations with Directors and senior client staff across a range of disciplines and arrive at an agreed position.
 - Discussing and identifying digital risks and issues (and where relevant identify required actions) and digital audit work progress with client Directors/ Managers/Leads on a regular basis.
 - Building effective networks of client relationships to support the digital audit process including the ability to benchmark best practice.
 - Providing and co-ordinating advice on digital risks and issues to client staff at all levels, including IT Directors/Managers/Leads, IT Steering Groups, Project Boards and Audit Committees via attendance at formal meetings.

ANALYTICAL/JUDGEMENTAL SKILLS

The postholder will:

- Analyse and make judgements on information relating to highly complex risk issues and design of systems of internal control that the client has introduced to manage the risk across all strategic areas of the client operations, and the ability of the client to meet these strategic objectives, negotiating solutions if change is required. At a strategic level, this will include contributing to and advising on elements of the Head of Internal Audit Opinion and the allocated client's Annual Governance Statement and the Assurance Framework, and non-NHS organisations assurance statements as required.
- Ensure an understanding of the client's business activities is maintained and to keep abreast of current issues within the NHS and internal audit profession.

PLANNING/ORGANISATIONAL SKILLS

The postholder will:

- Liaise with the Assistant Directors of Audit and Assurance Services/Senior Audit and Assurance Managers in the development of digital audit and related areas of client Strategic Internal Audit Plans for approval by the client Audit Committees. This will include the associated annual client operational internal audit plans that detail audits to be performed. Audit plans are to be developed with reference to the latest national guidance, the client's Assurance Framework and other client or national requirements.
- Plan own workload and the workload of subordinate audit staff on designated audits/elements of client operational internal audit plans, to ensure that assignments are completed to timescales set out in the client operational internal audit plans as agreed by the Assistant Directors of Audit and Assurance Services/Audit and Assurance Managers, as appropriate. The post holder will be expected to run a number of audit assignments concurrently to ensure the most effective and efficient use of time and resources.

PATIENT/CLIENT CARE

- The post holder will not have direct patient contact, but should assist patients/clients during incidental contact, as necessary, throughout the audit process.

POLICY/SERVICE DEVELOPMENT

The postholder will:

- Developing and implement policies and procedures from clients and the Director of Audit and Assurance Services with minimal line management supervision.
- Assist the ASW Assurance SMT in the corporate development and promotion of the overall audit function.
- Develop digital audit policies and procedures and propose changes to and redesign of digital audit policies and procedures across client organisations.

FINANCIAL/PHYSICAL RESOURCES

- The postholder will be responsible for the overall management of the digital audit and assurance service and resources to ensure delivery of the agreed annual client operational internal audit plans in accordance with time, cost, staff budgets and quality standards. This will include specific budgetary responsibility for devolved areas of the overall ASW Assurance pay and non-pay budget in relation to areas of responsibility.

HUMAN RESOURCES

- As part of the management role, the postholder will line manage the Digital Audit and Assurance team, ensuring that members of the team fulfil their job purpose as per their job descriptions. To cover all aspects of management including:
 - Ensuring audit assignments are scheduled, planned, monitored and allocated to staff in an effective and efficient manner, ensuring a consistency of approach and quality across all clients.
 - Supervise and coach newer and less experienced colleagues in own work areas as appropriate.
 - Assisting with the recruiting, supervising, motivating and coaching of staff.
 - Undertake staff PDRs, including providing or arranging local training or mentoring.
 - Health & Safety matters.

INFORMATION RESOURCES

The postholder will:

- Drive the use of data analytics to improve insight and value for our clients, whilst supporting colleagues to plan and deliver analytics across all audit areas.
- Ensure that key ASW Assurance database tools and performance management systems are maintained up to date in own areas of responsibility (e.g. timesheets/ audit report register).
- Maintain and develop information systems to meet the requirement of ASW Assurance and its clients.
- Regularly create databases and manipulate digital applications as part of day to day digital audit duties.
- Obtain data from a range of client information systems and perform detailed analysis of the data to inform own judgements on adequacy of systems of internal control.

RESEARCH AND DEVELOPMENT

- The postholder will anticipate and undertake specific research into new NHS/non-NHS organisation's digital operational areas in accordance with the client's annual operational internal audit plans, in order to identify risk areas, control objectives and expected controls. To apply the results of research to develop appropriate digital audit policies, procedures and approaches for complex audits that can be applied across ASW Assurance clients. This may involve undertaking surveys. This will include the development of specific expert knowledge in areas agreed with the Director of Audit and Assurance Services, to influence and develop the digital audit service to deliver significant added value to clients. This also includes co-ordinating and implementing research programmes across the region.

PHYSICAL SKILLS

- The postholder will have excellent IT skills and keyboard skills, including speed and accuracy when writing reports.

PHYSICAL EFFORT

- Light physical effort is required to sit at a keyboard for a significant proportion of the working day.

MENTAL EFFORT

- The postholder will have the ability to concentrate for prolonged periods whilst dealing with interruptions. Regularly required, on a daily basis, to switch tasks to answer staff/client queries/undertake urgent, complex reviews etc. Frequent requirement to concentrate for long periods when analysing complex data/preparing or reviewing complex reports such as high-level audit assignments.

EMOTIONAL EFFORT

- Occasional distressing or emotional circumstances - dealing with staff performance and disciplinary issues. Ability to cope with occasional verbal aggression.

WORKING CONDITIONS

The post holder will:

- Be expected to undertake audit assignments for all ASW Assurance clients. This may involve a significant amount of travel, hot desking and flexible working patterns.
- Have the ability to work remotely.
- Use their own initiative to conduct assurance services work.
- Work in an environment with the requirement to use VDU more or less continuously.

OTHER RESPONSIBILITIES

The postholder will:

- Take part in regular performance appraisal - achieve personal and business-related objectives and targets set as part of the performance appraisal process and documented in the agreed personal development plan.
- Undertake any training required in order to maintain competency including mandatory training, e.g. Manual Handling.
- Contribute to and work within a safe working environment
- Comply with Trust Infection Control Policies and conduct yourself at all times in such a manner as to minimise the risk of healthcare associated infection.
- Abide by any relevant code of professional conduct and/or practice applicable to you. As an employee of the Trust, this is a contractual duty and a breach of this requirement may result in action being taken against you (in accordance with the Trust's disciplinary policy) up to and including dismissal.
- Take responsibility for your workplace health and wellbeing:
 - When required, gain support from Occupational Health, Human Resources or other sources.
 - Familiarise yourself with the health and wellbeing support available from policies and/or Occupational Health.
 - Follow the Trust's health and wellbeing vision of healthy body, healthy mind, healthy you.
 - Undertake a Display Screen Equipment assessment (DES) if appropriate to role.

APPLICABLE TO MANAGERS ONLY

- The postholder will lead the team effectively and support their wellbeing by:
 - Championing health and wellbeing.
 - Encouraging and supporting staff engagement in delivery of the digital audit service.
 - Encouraging staff to comment on development and delivery of the digital audit service.
 - Ensuring during 1:1's / supervision with employees you always check how they are.

GENERAL

This is a description of the job as it is now. We periodically examine employees' job descriptions and update them to ensure that they reflect the job as it is then being performed, or to incorporate any changes being proposed. This procedure is conducted by the manager in consultation with the jobholder. You will, therefore, be expected to participate fully in such discussions. We aim to reach agreement on reasonable changes, but if agreement is not possible, we reserve the right to insist on changes to your job description after consultation with you.

Everyone within the Trust has a responsibility for, and is committed to, safeguarding and promoting the welfare of vulnerable adults, children and young people and for ensuring that they are protected from harm, ensuring that the Trusts Child Protection and Safeguarding Adult policies and procedures are promoted and adhered to by all members of staff.

PERSON SPECIFICATION

Job Title	Digital Audit and Assurance Manager
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Requirements	Essential	Desirable
QUALIFICATION/ SPECIAL TRAINING <ul style="list-style-type: none"> Experience & expertise in digital management & staff management to Master's level or equivalent. In depth specialist knowledge of digital procedures acquired through degree or equivalent level plus knowledge. Possess a specialised digital/IT professional qualification e.g. the Information Systems Audit and Control Association Certified Information Systems Auditor (CISA) or other relevant digital/IT professional qualification. Possess or actively working towards an Institute of Internal Audit or CCAB qualification or equivalent. 	E E E	D
KNOWLEDGE/SKILLS <ul style="list-style-type: none"> Detailed, demonstrable and expert specialist knowledge and delivery of digital and non-digital audits in large organisations. Expertise in governance, risk management and assurance matters. Knowledge and strategic understanding of the NHS organisational structure and client organisations. Advanced knowledge of specialised software as utilised by audit e.g. computer aided audit techniques including data interrogation software and data analytics. Previous experience in the NHS. A full understanding of professional audit standards e.g. the Public Sector Internal Audit Standards. 	E E E E	D D
EXPERIENCE <ul style="list-style-type: none"> Expert experience of digital audit, including experience in management at a senior level. Significant experience of managing and developing a team. Significant experience of highly complex and highly visible digital assurance services and/or consultancy work. Significant experience of preparing complex reports for Board and Audit Committees to a high standard. Expert experience of dealing with Board members and Audit Committees. Expert experience of dealing with sensitive internal audit issues. 	E E E E E	
PERSONAL ATTRIBUTES <ul style="list-style-type: none"> Well-developed communication skills, both written and oral, including report writing, negotiating, questioning and presentational skills, with the ability to advise/provide detailed guidance to Board members and Audit Committees. Excellent organisational and time management skills, with the ability to prioritise work and work to tight deadlines. Excellent people management and motivation skills. Ability to manage, supervise, coach and train staff. Significant performance management skills Ability to deliver to tight timescales and in a busy environment, including the maintenance of good working papers/records. 	E E E E E	

<ul style="list-style-type: none"> • Ability to concentrate for prolonged periods whilst dealing with interruptions. Regularly required, on a daily basis, to switch tasks to answer staff/client queries/undertake urgent, complex reviews etc. Frequent requirement to concentrate for long periods when analysing complex data/preparing or reviewing complex reports such as high-level audit assignments. • Ability to work autonomously to deliver the operational audit plans to the designated audit clients, and interpret available standards. • Ability to input and manipulate various data, both financial and non-financial, into a range of digital packages, where speed and accuracy are necessary. • Confident. • Self-motivated. • Managing staff performance and disciplinary issues. Can be involved in investigations for HR disciplinary purposes. • Can review results of incident reporting systems, deals with and reports on elements of client staff performance during every audit assignment (in some cases this may be the performance of an Executive Director or senior manager and this may be sensitive, confidential or contentious in nature). • Experienced in the use of data analytics in order to improve insight and value for clients and the rest of the internal audit team. • Ability to use PCs and work with spreadsheets and word processing software to an advanced level. • Light physical effort/required to sit at a keyboard for a significant proportion of the working day. Carry heavy files from site to site. • Ability to work remotely within lone working situations at client bases and using initiative to conduct audit work with minimal supervision. 	<p>E</p> <p>E</p> <p>E</p> <p>E</p> <p>E</p> <p>E</p> <p>E</p> <p>E</p> <p>E</p> <p>E</p> <p>E</p>	
<p>OTHER REQUIREMENTS</p> <ul style="list-style-type: none"> • Valid and current driving licence and reliable access to car as frequent requirement to travel to a range of sites relating to agreed workplans. This may include travel to sites throughout Devon, Cornwall and Bristol. Where the agreed workplans include nationally based clients there may be a requirement for national travel. • Flexible office/home based. The post holder will be required to work in a range of environments, occasionally challenging and of a less than conducive nature for fulfilment of the job requirements. 	<p>E</p> <p>E</p>	

		FREQUENCY			
		(Rare/ Occasional/ Moderate/ Frequent)			
WORKING CONDITIONS/HAZARDS		R	O	M	F
Hazards/ Risks requiring Immunisation Screening					
Laboratory specimens	N				
Contact with patients	N				
Exposure Prone Procedures	N				
Blood/body fluids	N				
Laboratory specimens	N				
Hazard/Risks requiring Respiratory Health Surveillance					
Solvents (e.g. toluene, xylene, white spirit, acetone, formaldehyde and ethyl acetate)	N				
Respiratory sensitisers (e.g isocyanates)	N				
Chlorine based cleaning solutions (e.g. Chlorclean, Actichlor, Tristel)	N				
Animals	N				
Cytotoxic drugs	N				
Risks requiring Other Health Surveillance					
Radiation (>6mSv)	N				
Laser (Class 3R, 3B, 4)	N				
Dusty environment (>4mg/m3)	N				
Noise (over 80dBA)	N				
Hand held vibration tools (=>2.5 m/s2)	N				
Other General Hazards/ Risks					
VDU use (> 1 hour daily)	Y				F
Heavy manual handling (>10kg)	Y	R			
Driving	Y			M	
Food handling	N				
Night working	N				
Electrical work	N				
Physical Effort	Y	R			
Mental Effort	Y				F
Emotional Effort	Y		O		
Working in isolation	Y			M	
Challenging behaviour	Y	R			