

JOB DESCRIPTION

JOB DETAILS	
Job Title	Audit and Assurance Manager – Specialist Services
Reports to	Assistant Director of Audit and Assurance Services
Band	7
Department/Directorate	Finance – Internal Audit (ASW Assurance)

JOB PURPOSE
<p>As organisations look for audit and assurance services to provide added value through the use of audit and assurance specialists, the purpose of this role is primarily to manage, control and deliver highly complex and high visibility audit, assurance and consultancy reviews.</p> <p>The post holder will be the Consortium Strategic Lead for a portfolio of highly complex and high visibility audit and assurance specialisms and consultancy reviews and will be:</p> <ul style="list-style-type: none"> • As part of a specialist services team, the responsible lead for the delivery and development of highly complex and high visibility audit, assurance and consultancy reviews within audit specialisms and for developing specialist audit and assurance services for current and future consortium clients. • Applying risk management and assurance principles to the planning and delivery of audit and assurance work, at both an operational and strategic client level, advising Directors, senior managers and other client staff on a range of complex issues. • Controlling and managing a large range of highly complex and high visibility audit, assurance and consultancy reviews ensuring that suitable assurances are given. Audit and assurance assignments must be undertaken in line with Public Sector Internal Audit Standards and the ASW Assurance Audit Manual and to agreed timescales. • Preparing audit and assurance reports 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. • 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 specialist, sensitive and complex issues. • Ensuring that complex, high risk, material and sensitive issues are identified to the appropriate Senior Management team member for each client for suitable reporting to the relevant client Director, Audit Committee, Trust Board and, where appropriate, Trust Chair. • Leading on the corporate development of ASW Assurance and the training of audit and other NHS/non-NHS staff for audit specialisms. • Working with the ASW Assurance Senior Management Team (SMT) in influencing strategic and service development opportunities for the audit function 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.

KEY RESULT AREAS/PRINCIPAL DUTIES AND RESPONSIBILITIES
<p>The postholder will:</p> <ul style="list-style-type: none"> • Contribute to the delivery of the ASW Assurance Business Plan, in particular around the development of specialist highly complex and high visibility audit, assurance and consultancy reviews. • Ensure the delivery of client annual audit and assurance plans, through controlling and managing highly complex and high visibility audit, assurance and consultancy reviews. • Ensure that all allocated audit work, including those where the postholder is supervising subordinate staff, are completed within timescales as stated in the audit plan of the client/agreed with the Assistant Directors / Audit and Assurance Managers, as appropriate.

- Ensure that all allocated audit work conforms to the expectations of the quality standards and professional expectations (e.g. duty of care, independence etc.) as stated in the Public Sector Internal Audit Standards, ASW Assurance Audit Manual and NHS Managers Code of Conduct.
- Achieve personal and business-related objectives and targets set as part of the annual Personal Development Review (PDR) process and documented in the agreed personal development plan.
- Undertake any training required in order to maintain competency, including mandatory training.
- 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.
- To contribute to and work within a safe working environment.

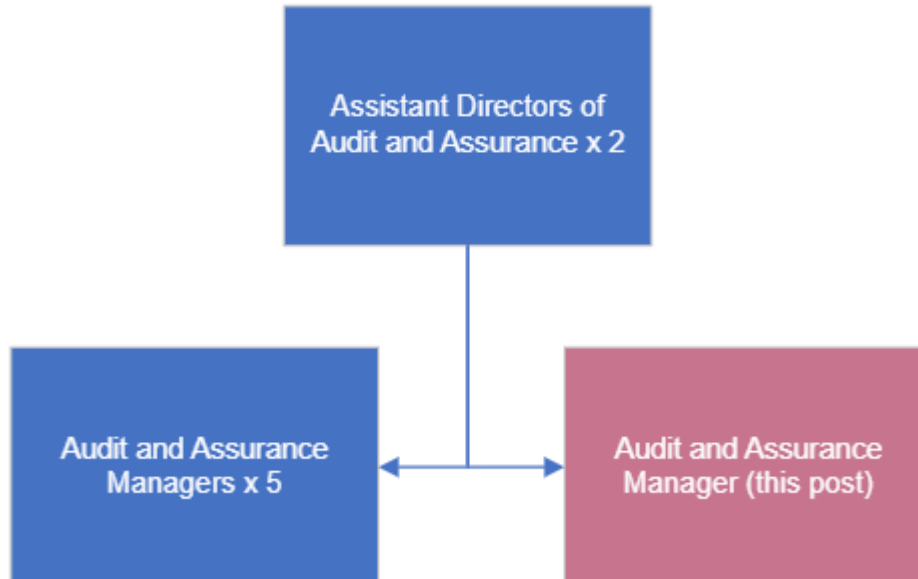
KEY WORKING RELATIONSHIPS

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:

- Be responsible for delivering a portfolio of highly complex and high visibility audit and assurance specialisms and consultancy reviews 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.
- Control and manage the delivery of highly complex and high visibility audit, assurance and consultancy reviews in the audit and assurance plan to clients, ensuring that audit and

assurance 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. Audit and assurance work will include risk and systems based audits, consultancy work and special investigations covering all aspects of audit work providing a service to organisations.

- Assist in the production of internal audit briefings and papers, in a format specified by the Director of Audit and Assurance Services in respect of audit and assurance activities and related subjects. To attend Audit Committees and other committees (e.g. Governance Committee, Risk Management Committee) as required in an advisory capacity.
- Ensure and, where appropriate, review the quality of audit and assurance assignments, including the files and reports, to ensure that national Public Sector Internal Audit Standards and ASW Assurance professional and quality standards are met. Audit and assurance 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 audit management team for draft reports and Director of Audit and Assurance Services for final reports. 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.
- Perform all elements of risk based audit and assurance assignments over a broad range of audit and other assignments (in line with the audit process as set out by the ASW Assurance's Audit Manual) for all high risk, highly complex and high visibility audit, assurance and consultancy reviews across a number of clients as directed by the Assistant Director of Audit and Assurance Services, in conjunction with the appropriate ASW Assurance client lead. This may involve consultancy work involving the analysis of very complex, confidential information from clients and providing clear judgements based on that analysis.
- Co-ordinate with audit colleagues provides advice and guidance to other members of the audit team on specialist areas that arise in the course of their work.
- Liaise closely and co-ordinate with colleagues in the 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.
- Be responsible for implementing policies and procedures from host Trusts and the Director of Audit and Assurance Services with minimal line management supervision.
- Suggest changes to, and implement audit policies and procedures in own area. Propose changes to, and redesign audit policies and procedures that impact other audit teams.
- Assist the ASW Assurance senior management team in the corporate development and promotion of the overall audit function.
- Input into the development of client information systems as part of the delivery of audit and assurance services.
- Be responsible for maintaining and developing ASW Assurance information systems to meet the requirement of the Consortium.
- Keep the ASW Assurance client lead appropriately briefed at all times in respect of significant issues on the work being undertaken along with performance problems.
- Represent ASW Assurance at meetings, conferences, seminars, training courses etc.
- Present information in a formal setting to groups of client and ASW Assurance staff.

COMMUNICATION/RELATIONSHIP SKILLS

The postholder will:

- Respond to, and in part, 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 and including Board level to elicit relevant information in the course of the audit and assurance assignment, sometimes in a challenging environment and to identify issues which cross organisational boundaries.
- Ability to persuade and negotiate the reasoning behind contentious recommendations with Directors and senior client staff across a range of disciplines and arrive at an agreed position.
- Discuss and identify organisational risks and issues (and where relevant identify required actions).
- Building effective networks of client relationships to support the audit process including the ability to benchmark best practice.
- Provide and co-ordinate advice on organisational risks and issues to client staff at all levels, including Directors/Managers/Leads, Committees and Project Boards via attendance at formal meetings.

ANALYTICAL/JUDGEMENTAL SKILLS

- The postholder will analyse and make judgements on information relating to complex risk issues and design of systems of internal control 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.

PLANNING/ORGANISATIONAL SKILLS

The postholder will:

- Plan own workload, and co-ordinate the workload of subordinate audit and assurance staff on designated audits/elements of client audit and assurance plans, to ensure that assignments are completed to timescales set out in the clients' audit and assurance plan as agreed by the ASW Assurance client lead. The post holder will be expected to run a number of audit and assurance assignments concurrently to ensure the most effective and efficient use of time and resources.
- Anticipate and undertake predictive, specific research into audit and assurance areas in general and NHS/business areas as appropriate in accordance with client Audit and Assurance 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 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 service to deliver significant added value to clients.

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:

- Be responsible for implementing policies and procedures from host Trusts and the Director of Audit and Assurance Services with minimal line management supervision.
- Suggest changes to, and implement audit policies and procedures in own area. Propose changes to, and redesign audit policies and procedures that impact other audit teams.

FINANCIAL/PHYSICAL RESOURCES

- The postholder has no financial responsibility.

HUMAN RESOURCES
<ul style="list-style-type: none"> The postholder will work collaboratively with ASW Assurance client leads in the management of the audit team, as required, controlling and managing the delivery of highly complex and high visibility audit, assurance and consultancy reviews of the clients annual Audit and Assurance Plan including: <ul style="list-style-type: none"> Supervision and coaching of new and less experienced colleagues in own work areas. Input to staff PDRs. Monitoring and authorising staff expenses and/or agency/bank staff time sheets as required. Providing local training or mentoring. Health & Safety matters.
INFORMATION RESOURCES
<p>The postholder will:</p> <ul style="list-style-type: none"> 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). 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
<ul style="list-style-type: none"> 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
<ul style="list-style-type: none"> The postholder will have excellent IT skills and keyboard skills, including speed and accuracy when writing reports.
PHYSICAL EFFORT
<ul style="list-style-type: none"> Light physical effort is required to sit at a keyboard for a significant proportion of the working day.
MENTAL EFFORT
<ul style="list-style-type: none"> 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
<ul style="list-style-type: none"> 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 appraisals.
- Achieve personal and business related objectives and targets set as part of the annual Personal Development Review (PDR) process and documented in the agreed personal development plan.
- Undertake any training required in order to maintain competency including mandatory training, i.e. fire training, manual handling training.
- To contribute to and work within a safe working environment.
- The post holder is expected to comply with employing Trust Infection Control Policies and conduct him/herself at all times in such a manner as to minimise the risk of healthcare associated infection.
- The post holder will be expected to undertake audit assignments for other ASW Assurance clients, which may be outside the geographical boundaries of their service unit, as required. This may involve a significant amount of travel, hot desking and flexible working patterns.
- Ensure an understanding of Consortium clients business activities is maintained and to keep abreast of current issues within the NHS and Internal Audit profession.
- As an employee of the Trust, it is a contractual duty that you abide by any relevant code of professional conduct and/or practice applicable to you. 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.
- 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.

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	Audit and Assurance Manager – Specialist Services
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Requirements	Essential	Desirable
QUALIFICATION/ SPECIAL TRAINING <ul style="list-style-type: none"> Possess a CCAB/Institute of Internal Audit qualification or equivalent. Degree educated and/or significant relevant specialist experience Minimum of 5 GCSE to include English Language at Grade C or above. 	E E E	
KNOWLEDGE/SKILLS <ul style="list-style-type: none"> Detailed, demonstrable and expert specialist knowledge of the NHS and /or the business sector such that post holder is able to act as ASW Assurance lead for this. Expertise in governance, risk management and assurance matters, ideally in relation to the NHS. Knowledge and strategic understanding of the NHS organisational structure and client organisations. Experience of working in a large organisation. Previous experience in NHS finance/administration. 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"> Specific experience of highly complex and highly visible audit and or consultancy work. Specific experience of managing and or supervising staff. Significant experience of preparing complex reports for Board and Audit Committees to a high standard. Significant experience of dealing with Senior Management, and or Board members and Audit Committees. Significant experience of dealing with sensitive internal audit issues. 	E E E E E	
PERSONAL ATTRIBUTES <ul style="list-style-type: none"> Well-developed verbal and written communication skills including report writing, negotiating, questioning and presentational skills. Ability to supervise and coach staff Ability to use PCs and work with spreadsheets and word processing software. Ability to prioritise work and work to tight deadlines. Inputting and manipulation of various data both financial and non-financial into a range of IT packages, where speed and accuracy are necessary. Concentration required for periods of up to two hours on a daily basis when inputting test data, checking and reconciling results and writing up audit working papers and audit reports. Regularly required, on a daily basis, to switch tasks to answer client queries/undertake urgent, complex reviews etc. Frequent requirement to concentrate for long periods, over two hours up to three times a week, when analysing complex data/preparing or reviewing complex reports such as audit committee papers and high level audit assignments. Ability to multi task as need to switch tasks to answer client queries/clear reviews etc. 	E E E E E E E	

<ul style="list-style-type: none"> • Ability to work autonomously to deliver elements of operational audit plans to the designated audit clients, and interpret available standards e.g. DOH policy. • Light physical effort/required to sit at a keyboard for a significant proportion of the working day. Carry heavy files from site to site. • Can review results of incident reporting systems, deals with and reports on elements of client staff performance during every audit assignment (sometimes this may be sensitive, confidential or contentious in nature). • Ability to cope with occasional verbal aggression. • The ability to work remotely within lone working situations at client bases and using initiative to conduct audit work with minimal supervision. 	E E E E E	
OTHER REQUIREMENTS <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 Avon. 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. 	E E	

WORKING CONDITIONS/HAZARDS		FREQUENCY (Rare/ Occasional/ Moderate/ Frequent)			
		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			