# JOB DESCRIPTION

ASW Assurance is committed to recruiting and supporting a diverse workforce and so we welcome applications from all sections of the community, regardless of age, disability, gender, race, religion, sexual orientation, maternity/pregnancy, marriage/civil partnership or transgender status. ASW Assurance expects all staff to behave in a way which recognises and respects this diversity, in line with the appropriate standards.

**JOB DETAILS**

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| **Post:** | **Audit and Assurance Manager – IT Services** |
| **Band:** | Band 7 |
| **Division:** | Internal Audit - ASW Assurance |
| **Department:** | Finance |
| **Responsible to:** | **Assistant Director of Audit and Assurance Services** |

**JOB PURPOSE**

As Information Technology (IT) has become central to the effective and efficient provision of NHS services, IM&T audit exists primarily to ensure that client organisations’ IT risks and business systems are adequately managed, controlled, monitored and assessed.

To support the ASW Assurance Senior Management Team in the delivery, leadership and development of the IT audit service across all clients by:

* Being responsible for the professional leadership of the delivery and development of the IT audit service to clients, through a designated team of IT auditors and other staff, promoting and ensuring consistency of planning and delivery of IT audit work. Audit and Audit Managers will be responsible for the operational audit service provided to individual clients.
* As part of the management role, assisting the Assistant Director of Audit and Assurance Services in the performance management of IT auditors, helping to ensure that members of the IT audit team fulfil their job purpose, as per their job descriptions.
* Applying risk management and assurance principles to the planning and delivery of IT audit work, at both an operational and strategic client level, ensuring consistency of planning through promoting the value and impact of specialist IT audit work internally and with clients.
* Performing a large range of IT audit and other assignments as appropriate, including high level and high visibility assignments, ensuring that suitable assurances are given. This will include being the named IT audit lead for a portfolio of clients. These must be undertaken in line with Public Sector Internal Audit Standards and the ASW Assurance Audit Manual and to agreed timescales. Audit assignments cover any aspect of IM&T activity and Information Governance aspects 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 IM&T projects. On occasions, audit assignments will cover non-IM&T areas.
* Preparing audit 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.
* Contributing to the corporate development of ASW Assurance and the training of audit and other NHS/non-NHS staff in IT audit and related areas.
* Working with the ASW Assurance Senior Management Team, identifying strategic and service development opportunities for the IT 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.

**DIMENSIONS/KEY WORKING RELATIONS**

Key working relationships with:

* ASW Assurance Director of Audit and Assurance Services
* ASW Assurance Assistant Directors of Audit and Assurance Services
* ASW Assurance Senior Management Team
* ASW Assurance Audit Team
* ASW Assurance Counter Fraud Team
* ASW Assurance Business Support Team
* Client staff i.e. Directors of Finance, Chief Finance Officers, other Executives
* Client Audit Committees

**KEY RESULT AREAS/PRINCIPAL DUTIES AND ResponsibiliTIES**

**Key Result Areas:**

* Contribute to the delivery of the ASW Assurance’s Business Plan, in particular around the development of specialist IT audit and related services.
* Ensure the delivery of client operational internal audit plans, in particular covering IT audit areas.
* 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.

**Principal Duties and Responsibilities:**

* Liaise with the Assistant Directors / Audit and Assurance Managers in the development of IT audit and related areas of client Strategic Internal Audit Plans for approval by the client Audit Committee. This will include the associated annual Internal Audit Operational 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.
* Take the lead responsibility for supporting the Assistant Directors / Audit and Assurance Managers as appropriate, on the delivery of IT audit elements of the audit plan to clients, 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. IT audit work will include risk and systems based audits, project quality assurance and special investigations covering all aspects of IM&T e.g. strategies, policies & procedures, operations & service to other organisations, networks, hardware, software, application systems, security, projects involving IM&T, Information Governance, procurement, contingency arrangements and, on occasions, non-IM&T areas.
* To work collaboratively with Assistant Directors / Audit and Assurance Managers in the management of the IT audit team, ensuring the delivery of IT audit and related specialist areas of the clients annual Internal Audit Operational Plan. 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.
  + Inputting into staff IPRs with the relevant manager, including providing or arranging local training or mentoring.
  + Health & Safety matters.
* To ensure and, where appropriate, review the quality of 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 audit management team for draft reports and Director of Audit 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.
* Act as the Lead Auditor, to perform all elements of risk based audit assignments over a broad range of IT 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 complex/adhoc nature across a number of clients as directed by the Assistant Directors / Audit and Assurance Managers as appropriate*.* This may involve consultancy work involving the analysis of very complex, confidential information from clients and providing clear judgements based on that analysis.
* Plan own workload, and co-ordinate the workload of subordinate audit staff on designated audits/elements of client audit plans, to ensure that assignments are completed to timescales set out in the client audit plan as agreed by the Assistant Directors / 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.
* In conjunction with the Assistant Directors of Audit and Assurance Services anticipate and undertake predictive, specific research into IT in general and NHS IM&T areas as appropriate in accordance with client Internal Audit operational 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 audit service to deliver significant added value to clients. 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.
* 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.
* To assist in the production of internal audit agenda and papers, in a format specified by the Director of Audit and Assurance Services, for these Committees in respect of IT audit activities and related subjects. To attend Audit Committees and other committees (e.g. Governance Committee, Risk Management Committee) as required in an advisory capacity.
* 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 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 IM&T risks and issues (and where relevant identify required actions) and IT audit work progress with IM&T Directors/Managers/Leads on a regular basis.
  + Building effective networks of client relationships to support the audit process including the ability to benchmark best practice.
  + Provide and co-ordinate advice on IT risks and issues to client staff at all levels, including IM&T Directors/Managers/Leads, IM&T Steering Groups, Project Boards and Audit Committees via attendance at formal meetings.
* Responsible for implementing policies and procedures from host Trusts and the Director of Audit and Assurance Services with minimal line management supervision.
* To assist the ASW Assurance senior management team in the corporate development and promotion of the overall audit function.
* 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).
* Responsible for maintaining and developing ASW Assurance information systems to meet the requirement of clients and the Consortium.
* Regularly create databases and manipulate IT applications as part of day to day audit duties.
* 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.
* 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.
* Co-ordinating with IT audit colleagues provide advice, and guidance to other members of the audit team on IM&T specialist areas that arise in the course of their work. Keep the Assistant Directors / Audit and Assurance Managers 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 IT 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 groups of client and ASW Assurance staff.

**Other responsibilities:**

* 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.

**THE TRUST – Vision and Values**

Our vision is to provide safe, high quality seamless services delivered with courtesy and respect. To achieve our vision we expect all our staff to uphold our Trust values. Our Trust values are:

* Honesty, Openness & Integrity
* Fairness,
* Inclusion & Collaboration
* Respect & Dignity

We recruit competent staff that we support in maintaining and extending their skills in accordance with the needs of the people we serve. We will pay staff fairly and recognise the whole staff’s commitment to meeting the needs of our patients.

We are committed to equal opportunity for all and encourage flexible working arrangements including job sharing.

We are committed to recruiting and supporting a diverse workforce and welcome applications from all sections of the community, regardless of age, disability, gender, race, religion, sexual orientation, maternity/pregnancy, marriage/civil partnership or transgender status. We expect all staff to behave in a way which recognises and respects this diversity, in line with the appropriate standards.

**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.

The RD&E is a totally smoke-free Trust. Smoking is not permitted anywhere on Trust property, including all buildings, grounds and car parks. For help to quit call: 01392 207462.

**PERSON SPECIFICATION**

**Post: Audit and Assurance Manager – IT Services**

**Band:** Band 7

| **REQUIREMENTS** | **E/D\* at recruitment** | **E/D\* at PDR** |
| --- | --- | --- |
| **QUALIFICATIONS/TRAINING**   |  | | --- | | * Possess or actively working towards a specialised professional qualification e.g. the Information Systems Audit and Control Association Certified Information Systems Auditor (CISA) or other relevant professional qualification * Possess or actively working towards a CCAB / Institute of Internal Audit qualification or equivalent. * Minimum of 5 GCSE to include English Language at Grade C or above. | | E  D  E | E  D  E |
| **KNOWLEDGE/SKILLS/ABILITIES** |  |  |
| |  | | --- | | * Detailed, demonstrable and expert specialist knowledge of IM&T in the NHS and wider afield 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. * To have an advanced knowledge of specialised software as utilised by audit e.g. computer aided audit techniques including data interrogation software. * 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  D  D  E  D  D  E | E  E  E  E  E  E  E |
| **EXPERIENCE** |  |  |
| * Specific experience of IT audit. * Significant experience of internal audit including demonstrable experience in internal audit management and staff management. * Significant experience of preparing complex reports for Board and Audit Committees to a high standard. * Significant experience of dealing with Board members and Audit Committees. * Significant experience of dealing with sensitive internal audit issues. | E  D  D  D  E | E  E  E  E  E |
| **PERSONAL ATTRIBUTES** |  |  |
| * 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. * 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). * Dealing with staff performance and disciplinary issues. Can be involved in investigations for HR disciplinary purposes. * 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  E  E  E  E  E  E  E  E | E  E  E  E  E  E  E  E  E  E  E  E  E |
| **OTHER REQUIREMENTS**   * 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 | E  E |
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**\* E**ssential/**D**esirable

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| **HAZARDS IDENTIFIED (*tick as appropriate)*:** | | | | | |
| Laboratory specimens  Proteinaceous Dusts |  | Clinical contact with patients |  | Performing Exposure  Prone Invasive Procedures |  |
| Blood / Body Fluids |  | Dusty environment |  | VDU use | x |
| Radiation |  | Challenging Behaviour | x\* | Manual handling | x\* |
| Solvents |  | Driving | x | Noise |  |
| Respiratory Sensitisers |  | Food handling |  | Working in isolation | x |

\* - on an occasional basis.