

# **London Borough of Bexley Principal Auditor Job Description**

## **Job Description**

Management Group: Chief Executive

Department/Section: Assurance and Risk

Job Title: Principal Auditor

Reports to: Head of Assurance

## **Purpose of the job**

The Principal Auditor will support the Head of Assurance and Audit Manager in the delivery of the Internal Audit and Counter Fraud Plans.

The Principal Auditor will deliver their own varied portfolio of work, which in addition to audit reviews may include proactive fraud investigations, contract reviews and project management.

## **Principal accountabilities**

### **Direction**

The Principal Auditor will assist the Head of Assurance and Audit Manager in providing assurance on the effectiveness of the Council's systems of internal control, risk management, and governance processes.

The Principal Auditor will work closely with senior management to agree improvements to the ways in which the Council operates.

### **Implementation**

The Principal Auditor will research, plan and prepare draft terms of reference in respect of audit assignments for approval by the Audit Manager or Head of Assurance.

The Principal Auditor will plan audit work so that it is conducted efficiently and effectively.

The Principal Auditor will undertake follow up reviews of audits with limited assurance audit opinion.

The Principal Auditor will support management in continuously improving the audit service.

The Principal Auditor will act as a mentor to new and inexperienced staff.

## **Organisational Control and Development**

- a) Give consideration to the risks identified by Services and work in conjunction with the management team to ensure that the controls adequately address the risks, establishing whether they are working effectively.
- b) Analytical skills with the ability to undertake data analysis and data mining.
- c) Develop and encourage clear channels of two-way communication with client throughout the conduct of audit engagements.
- d) Contribute to the discussions of findings with Heads of Service, Directors, and agree Management Action Plans for the implementation of recommendations with them.
- e) Report significant risk or governance issues arising from the audits undertaken.

- f) Adhere to the Public Sector Internal Auditing Standards and the Council's policies on diversity, equal opportunities and health and safety.
- g) Keep fully informed of the latest developments in respect of relevant legislation and regulations including accountancy and audit regulations, risk and audit techniques.
- h) To ensure that working practices and processes are developed that maximise the use of new technology to ensure efficient and effective delivery of services.

#### **Personal Effectiveness**

- a) To deal promptly with all matters requiring the post holder's personal attention.
- b) To be fully conversant with relevant statutory provisions and the Council's constitution, processes and procedures; to develop the full range of professional skills and knowledge to satisfy the requirements of the post.
- c) To establish and develop effective working relationships.
- d) Take responsibility for own continuing professional development needs through the completion of mandatory training and refresher programmes, the development, maintenance and recording of development programmes and other relevant means.

## Person Specification

**Management Group:** Chief Executive

**Department/Section:** Assurance and Risk

**Job Title:** Principal Auditor

**Job Family:** Professional 2

Selection Criteria	Essential/ Desirable (E/D)	Method of Assessment (see key)
<b>(a) Education and formal training</b>		
<ul style="list-style-type: none"> <li>Studying for or have achieved the Certificate in Internal Audit or Business Risk with the Institute of Internal Auditors; OR</li> </ul>	E	A
<ul style="list-style-type: none"> <li>Studying for a qualification from a professional accountancy body recognised by the Consultative Committee of Accountancy Bodies (ICAEW, ICAS, ICAI, ACCA, CIPFA, CIMA) or achieved level 1; OR</li> </ul>	E	A
<ul style="list-style-type: none"> <li>Membership of the Association of Accounting Technicians CIPFA Diploma in Public Audit.</li> </ul>	E	A
<b>(b) Relevant technical experience, knowledge &amp; skills/abilities</b>		
<ul style="list-style-type: none"> <li>The candidate is able to describe an example of an internal audit assignment that they have carried out describing their role, the location, the approach that they took, a description of the testing and its results, the key findings and their related risks, reporting lines, their assessment of the effectiveness of the audit and the learning that they took from the assignment.</li> </ul>	E	A/I
<ul style="list-style-type: none"> <li>A description of the most recent organisation where they have carried out internal audit assignments, including when the candidate worked there, their role, the organisation's objective and how it delivered its services.</li> </ul>	E	A/I
<ul style="list-style-type: none"> <li>If not already included under Qualifications, a description of an audit assignment, including all the requirements detailed above.</li> </ul>	E	A/I
<ul style="list-style-type: none"> <li>Studying for or have achieved the Professional</li> </ul>	E	A/I

Certificate in Investigative Practice OR	E	A/I
• Clear understanding of Fraud and Control issues.	E	A/I
• Use of Word Processing and Spreadsheet packages	E	A/I

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### **(c) Other Additional Requirements**

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#### **KEY:**

I = Interview, A = Application Form, AT = Ability Test, PQ = Personality Questionnaire,

P = Presentation, PE = Practical Exercise, DBS = Disclosure & Barring Service, DL = Driving Licence

Applicants will be assessed against these criteria and the following high-performance indicators throughout the recruitment process.

## High Performance Indicators

Values	Behaviours for staff	Behaviours for managers
<b>Innovation</b>	I respond flexibly and adapt to changing demands	I routinely look for innovative and cost-effective ways to improve performance and customer service
	I am prepared to take managed risks to achieve better outcomes	I champion change and deal successfully with ambiguity, enabling people to see positive and exciting possibilities for the future
	I ask 'What if...?' to develop fresh thinking and innovative approaches to generate and implement solutions to improve performance and challenge the status quo	I take calculated risks based on available evidence and my professional judgement to learn and try new things
<b>Leadership</b>	I demonstrate a clear sense of purpose and direction, in line with organisational objectives	I take responsibility for my service and for making things happen to make a difference to my service users
	I am willing to take difficult decisions	I create an environment where staff can thrive and show I value and trust staff, give praise and recognise good work
	My personal actions promote a positive image of Bexley	I inspire, lead and encourage staff to move forward
<b>Collaboration</b>	I show respect for others and value contributions from internal and external partners and customers	I encourage the feeling that the team is a collective unit with shared goals
	I recognise the right solution, regardless of who initiated it	I engage with service partners and other areas of the Bexley organisation to understand the demands on others and seek solutions as One Council
	I seek out and work with partners who can help me achieve the outcomes and objectives I need to deliver	I network internally and externally

<b>Listening and Responding</b>	I acknowledge other people's viewpoints and work with them to find a win-win solution	I seek regular service user feedback and review customer data to shape service improvements
	I prepare and present information anticipating questions and problems	I ask staff for ideas on how to improve our service and how I can improve as a manager, listen to them and act on them
	I adapt my style to the audience and their needs, using the most appropriate communication channels	I empower staff to make decisions and changes to improve value for money, customer service and productivity
<b>Open and Accessible</b>	I see issues from the customer / user perspective	I am accessible to my service users, customers, staff and Members
	I monitor customer feedback and level of satisfaction with the service they receive, and use this to improve and pre-empt customer needs	I communicate and share a clear vision for the bigger picture as well as specific service areas
	I seek to build and maintain positive relationships with customers and partners	I outline what is expected of individuals and their contribution to the whole, and am consistent in my expectations
<b>Impact</b>	I prioritise my activities and resources to focus on those which have the most impact for residents	I design services that provide value for money and deliver our outcomes, informed by evidence
	I take responsibility for making things happen and achieving my objectives	I produce, prioritise and adapt plans to meet changing requirements
	I make decisions and clear recommendations based on my professional opinion and experience, informed by a range of information and evidence	I set interim goals to achieve notable wins on the way to larger objectives
		I deal with poor performance