

**Job Description**

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| **Department** | **Chief Executive’s** |
| **Job Title** | **PRINCIPAL Auditor** |
| **Grade** | H |
| **Primary Purpose of Job** | Support improvement in the Council’s systems of governance, risk and internal control through the planning, delivery and reporting of internal audit assignments, with leadership and management responsibility for specific aspects of the annual audit strategy and plan as agreed with the Audit Manager.Supervise and manage the work of senior auditors and auditors. |
| **Reporting To** | Audit Manager |
| **Direct Staffing Reports** | Auditor / Senior Auditor |

**Main Duties**

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| **1** | Make a significant active contribution to the delivery and development of an effective, professional and influential Internal Audit Service. |
| **2** | Make a significant active contribution to the continuous development of the audit strategy, business plan, risk assessments and overall audit approach. |
| **3** | Plan, lead, manage and deliver audit assignments across the audit plan with specific responsibility for leading and managing the delivery of specific aspects of the audit strategy and plan as agreed with the Audit Manager.  |
| **4** | Take a lead role in ensuring the assurance needs of specific client or stakeholder groups, as agreed with the Audit Manager, are identified and met. |
| **5** | Duties will be flexible but will principally involve planning, performing, managing and supervising audits and other assignments for specific aspects of the audit plan which can include:* System, compliance, regularity / probity or risk-based audits.
* Investigations into alleged error, irregularity or fraud.
* Audits of new initiatives, projects or developing systems
* Provision of advice to clients on relevant audit, risk and internal control matters.

Audits could be for Bolton Council, for schools or other external clients. |
| **6** | The key tasks in the management and delivery of audits and assignments will include:* Understanding the area, system or risk under review.
* Evaluating and agreeing key areas for audit focus.
* Planning and agreeing the scope and approach for the audit or assignment in conjunction with the Auditor, Senior Auditor, Audit Manager and client(s).
* Scoping and completion of agreed testing.
* Analysing and evaluating evidence and test results.
* Determining the implications of test results and other findings in terms of risks, issues and an overall audit opinion.
* Communicating conclusions, findings, issues and risks to clients through persuasive verbal and written reports.
* Proposing appropriate and relevant actions to address risks and issues, and agreeing these with clients.

In managing and delivering audits and assignments, the postholder will ensure compliance with the agreed audit approach and professional standards. |
| **7** | Management and supervision of staff including coaching and support, monitoring and management of a portfolio of audits, the review of audit working papers and reports and quality assurance. |
| **8** | Actively contribute proposals and support the development of improvements for the development of the service, audit approach and in the development of annual risk assessment and audit plan. |
| **9** | Develop and maintain constructive working relationships with key clients to ensure that risks are understood, relevant advice can be offered when appropriate and that service level risk assessments and audit plans adequately reflect changing needs and priorities. |
| **10** | To work as part of a team, working flexibly and collaboratively with other Principal Auditors across service and risk areas if required, and providing assistance and support where needed. |
| **11** | Any other duties as required by the Audit Manager. |
| **12** | **Customer Care -** Listen and respond to customer need, seek out innovative ways of consulting service users and engaging partners. Network with others to develop services for the benefit of the service users. |
| **13** | **Promoting equality and diversity -** Understand how knowledge of our diverse communities can help us to deliver effective services and reduce disadvantage in the borough. Listen to contributions made to service development without prejudice. Challenge behaviours and processes which do not support the council’s work to eliminate discrimination; advance equality of opportunity; and foster good relations, while being prepared to accept feedback about own behaviour.  |
| **14** | **Developing Self and Others** - Coach and mentor others. Be willing to share learning and encourage others to do the same. Listen to others and respond to their needs. Apply a range of development activities to develop and train staff. Endorse the principles of Investor in People. Strives for improvement and take responsibility for own development. Be self-confident and lead by example.  |
| **15** | **Responding to Civil Contingencies -** Bolton Council has a statutory duty under the Civil Contingencies Act to respond in the event of an emergency. If Bolton Council's Emergency Management Plan is activated, you could be required to assist, or assist others, in the continued maintenance or delivery of key Council services and of support to the community. This could require working outside of routine working hours and could entail working from places other than your normal place of work.N.B. Emergencies requiring activation of the Bolton Council Emergency Management Plan only occur very infrequently. If you are asked to respond to an emergency, your personal circumstances at the time will be taken into account. |
| **Date Job Description prepared/updated:** | **25/4/22** |
| **Job Description prepared by:** | **Head of Audit and Risk Management** |

**Person Specification**

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| **Department** | **Chief executive’s** |
| **Job Title** | **principal auditor** |
| **Stage One** | Candidates who are care leavers, have a disability, are ex-armed forces or are a carer (see [Carers-Charter-FINAL.pdf (gmhsc.org.uk)](https://www.gmhsc.org.uk/wp-content/uploads/2018/04/Carers-Charter-FINAL.pdf) are guaranteed an interview if they meet the essential criteria for the role  |
| **The Minimum Essential Requirements for the above Post are as Follows:** | **Method of Assessment** |
| **1.** | **Skills and Knowledge** |
| 1. | Analytical skills, IT skills, knowledge of computerised systems including PC based systems | Application Form/Interview |
| 2. | Planning and organising skills to deliver plans, audits and assignments to agreed time, quality and cost standards. | Application Form/Interview (including Written / Verbal Assessment) |
| 3. | Evaluation of information and evidence obtained from audit observations, review and testing to reach sound, unbiased conclusions and inform recommendations for improvement in systems of governance, risk management and control. | Application Form/Interview (including Written / Verbal Assessment) |
| 4. | Persuasive communication and influencing skills, both verbal and written. Ability to develop and sustain effective relationships with clients to ensure adequate feedback is obtained in relation to their risks, needs and requirements. | Application Form/Interview (including Written / Verbal Assessment) |
| 5. | Knowledge and experience of current audit techniques including non-financial audit areas, and audit management techniques. | Application Form/Interview (including Written / Verbal Assessment) |
| 6. | Ability to manage and coach staff and support continuous personal development. | Application Form/Interview |
| 7. | Ability to work on own or collaboratively with others as a member of a team | Application Form/Interview |
| 8. | Ability to develop and sustain constructive working relationships with clients, colleagues, partners, peers and other stakeholders in the delivery of plans and in contributing to the delivery and development of the overall audit service. | Application Form/Interview |
| 9. | Must demonstrate a professional approach consistent with audit professional standards and Codes of Practice. | Application Form/Interview |
| **2. Experience/Qualifications/Training etc** |
| 1. | Part qualified or qualified MIAA or CCAB accountant with relevant governance, risk or control related experience or Qualified MIAA or CCAB accountant  | Application Form |
| **3. Work Related Circumstances** |
| 1. | All posts require the job holder to undertake mandatory training for the role and to regularly review their developmental needs in conjunction with their line manager. Development of our employees plays a key role in delivering our services | Application Form/Interview |
| 2. | The Council has a framework of Values & Behaviours that guide our behaviour and decision making to help achieve our vision. All employees are expected to be mindful of these when undertaking their work. | Interview |
| **STAGE TWO** | Will only be used in the event of a large number of applicants meeting the minimum essential requirements |
| **Additional Requirements** | **Method of Assessment** |
| **1. Skills and Knowledge** |
| 1. | Skills and knowledge of governance, risk and control systems in contracts and procurement, counter fraud and investigation, information governance or ICT (as key risk areas for the Council).  | Application Form / Interview |
| 2. | Experience of leading and managing successful teams | Application Form/Interview |
| **2. Experience/Qualifications/Training etc** |
| 1. | Qualified MIAA or CCAB accountant **AND** relevant governance, risk or control related experience or | Application Form/Interview |
| 2. | Qualifications in risk management; contracts and procurement; counter fraud and investigation; information governance or ICT | Application Form/Interview |

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| **Date Person Specification prepared/updated** | **25/4/22** |
| **Person Specification prepared by** | **Head of Audit and Risk Management** |

**These core competencies are considered essential for all roles within Bolton Council. Please be prepared to be assessed on any of these during the interview process and, for the successful applicant, throughout the probationary period.**

**Developing Self & Others**

Promote a learning environment to embed a learning culture.  Support others to develop their skills and knowledge to fulfil their potential. Actively pursue your own development. Support and promote the principles of Investors in People.

**Civil Contingencies**

Bolton Council has a statutory duty under the Civil Contingencies Act to respond in the event of an emergency. If Bolton Council’s Emergency Management Plan is activated, you may be required to assist in maintaining key Council services and supporting the community.  This could require working outside of routine working hours and working from places other than your normal place of work.

**Equality & Diversity**

Uphold the principles of fairness and the Equality Act in all undertakings as a Bolton Council employee, including providing a fair, accessible service irrespective of customer’s race, religion, gender, sexuality, disability or age.

**Customer Care**

The ability to fully understand, assess and resolve the needs of all customers including those who present with complex situations, in a manner that respects dignity and expresses a caring & professional image.

**Health & Safety**

Take responsibility for the health and safety of yourself and others who may be affected by your acts or omissions, and comply with all health and safety legislation, policy and safe working practice, including participating in training activities necessary to your post.

**Data Protection and Confidentiality**

Ensure that any personal data or confidential data you hold is kept securely and is not disclosed, whether electronically, verbally or in writing, to any unauthorised third party. Follow Council policies and procedures on dealing with personal information and information assets, including The Code of Conduct, Data Protection, Acceptable Use and Information Security policies. Personal or confidential data should only be accessed or used for council purposes.

**Fluency Duty**

Should you be required, as a regular and intrinsic part of your role, to speak to members of the public in English, you must be able to converse at ease with customers and provide advice in accurate spoken English, as required byThe Immigration Act 2016.

**Working Hours**

The nature and demands of the role are not always predictable and there will be an expectation that work will be required outside of normal hours from time to time.

**Safeguarding**

This Council is committed to safeguarding and promoting the welfare of children, young people and vulnerable adults and expects all staff and volunteers to share this commitment. Should the role involve working with the above groups, you will be subject to an Enhanced Disclosure and Barred List check by the Disclosure & Barring Service.

**The values of an organisation are those key principles by which people are expected to work to day to day. They’re our culture and help define what is expected of each and every one of us**.

