

## Job Profile comprising Job Description and Person Specification

### Job Description

<b>Job Title:</b> Audit Apprentice/Graduate Apprentice	<b>Grade:</b> Sc3-sc4
<b>Section: Southwest London Audit Partnership</b>	<b>Directorate:</b> Finance
<b>Responsible to following manager:</b> Audit Manager	<b>Responsible for following staff:</b> n/a
<b>Post Number/s:</b>	<b>Last review date:</b>

#### Working for the Richmond/Wandsworth Shared Staffing Arrangement

This role is employed under the Shared Staffing Arrangement between Richmond and Wandsworth Councils. The overall purpose of the Shared Staffing Arrangement is to provide the highest quality of service at the lowest attainable cost.

Staff are expected to deliver high quality and responsive services wherever they are based, as well as having the ability to adapt to sometimes differing processes and expectations.

The Shared Staffing Arrangement aims to be at the forefront of innovation in local government and the organisation will invest in the development of its staff and ensure the opportunities for progression that only a large organisation can provide.

#### PURPOSE AND RESPONSIBILITIES

The Audit Apprentice will be responsible for developing their skills as an Auditor by working towards and obtaining either: -

- **Grade Scale 3-** completion of IIA Internal Audit practitioner Level 4 –(2 exams IIA Certificate in Internal Audit and Business Risk and the Internal Audit Practitioner).
- **Grade Scale 4-** Internal Auditor Professional – Certified Internal Auditor (CIA) Pathway Level 7 (6 modules aligned to IIA syllabu)s.

Also through the delivery of audit work as directed by the Audit Manager and Deputy Head of the Shared Service.

You are part of an audit team operating under the management of a principle auditor. To assist Head of Internal Audit in providing: -

- An independent appraisal function of all council departments or designated external bodies for the review of activities as a service to management;
- A service to measure, evaluate and report on the effectiveness of internal controls established by management in all council departments or designated external bodies;
- A review service to ensure economy, efficiency and effectiveness in the use of council resources and those of any designated external body.

Under certain circumstances, where operational reasons make it necessary, to assist an Audit Manager in the investigation of cases of fraud, irregularity and malpractice throughout all departments of the council or designated external body which has arisen as the result of Audit activity or which has been reported to Internal Audit.

**The key responsibilities are:**

- To attend college and work towards obtaining the IIA level 4 qualifications
- To assist with establishment and school's audits under the direction of either the Principal Auditor or Auditors as appropriate
- To assist with risk-based, systems or compliance audits in accordance with instructions and under the direction of either the Principal Auditor or Senior Auditors as appropriate. This includes, assisting auditors with liaising with clients, arranging meetings and assisting with work to professional and quality standards within agreed time constraints and reporting deadlines.
- To assist in undertaking testing as directed by the Audit Manager, Deputy Head of the Shared Service, Principal Auditor and Auditors as part of general audit work.
- To assist in ensuring that all work undertaken is compliant with Council policies and practice and current legislation and that working practices reflect the standards necessary to deliver a high profile and tailored service.
- Assist in researching the activities being audited by spending time within the area being audited; walking through how they operate a task/process; review policy, processes and standards related to the activity being audited

- Assist in documenting the business process and control environment through process mapping, e.g. flowcharting, and validating the process via a 'walkthrough'
- Assist in identifying and evaluating the associated governance, risks and controls through mapping against governance policy set out in the organisation, reviewing the documented internal risk process including any documented management controls in place as set out by the business.
- Assist in performing tests and analyse to evaluate the effectiveness of controls (i.e. do the controls protect the organisation against potential risks, as identified by the organisation, management or internal control functions)
- Assist in identifying vulnerabilities and exposures.
- Assist in utilising CAATS (Computer Assisted Audit Techniques) where relevant to analyse and test data
  - data gathering, analysis and interpretation through face to face, email and other forms of data gathering practises used in the organisation.
  - interrogate mainframe and other computer systems to obtain data required for audit investigations
- Provide general administrative support as directed by the Audit Manager and Principal Auditors.
- Any other duties, which may be required commensurate with the grading of this post

#### **Responsibilities for Scale 4 (as above and additional)**

- To attend college and work towards obtaining the IIA level 7 qualification
- Uses their audit knowledge and working with the Audit Manager or Principal Auditor to work on part of an audit review or a set project
- Communicate the results of audit work to audit management.
- Undertakes lower level audits with supervision

These are the key responsibilities as currently defined. Although there is an attempt to list them in priority order, priorities are subject to change and post holders should not place permanent emphasis on the location of the task within this job description.

#### **Generic Duties and Responsibilities**

- To contribute to the continuous improvement of the services of the Boroughs of Wandsworth and Richmond and partner councils.
- To comply with relevant Codes of Practice, including the Code of Conduct and policies concerning data protection and health and safety.
- To adhere to security controls and requirements as mandated by the SSA's policies, procedures and local risk assessments to maintain confidentiality, integrity, availability and legal compliance of information and systems
- To promote equality, diversity, and inclusion, maintaining an awareness of the equality and diversity protocol/policy and working to create and maintain a safe, supportive and welcoming environment where all people are treated with dignity and their identity and culture are valued and respected.
- To understand both Councils' duties and responsibilities for safeguarding children, young people and adults as they apply to the role within the council.
- The Shared Staffing Arrangement will keep its structures under continual review and as a result the post holder should expect to carry out any other reasonable duties within the overall function, commensurate with the level of the post.

**The Audit Apprentice will move to the audit trainee post on successful completion of the level 4 or level 7 training and assessment by management on the satisfactory achievement of the post and ability to undertake the tasks at the next level. This is dependent on there being a role available.**

## Person Specification

<b>Job Title:</b> Audit Apprentice	<b>Grade:</b> scale3/4
<b>Section:</b> SWLAP	<b>Directorate:</b> Finance
<b>Responsible to:</b>	<b>Responsible for:</b>
<b>Post Number/s:</b>	<b>Last Review Date:</b>

### Our Values and Behaviours

The values and behaviours we seek from our staff draw on the high standards of the two boroughs, and we prize these qualities in particular:

**Being open.** This means we share our views openly, honestly and in a thoughtful way. We encourage new ideas and ways of doing things. We appreciate and listen to feedback from each other.

**Being supportive.** This means we drive the success of the organisation by making sure that our colleagues are successful. We encourage others and take account of the challenges they face. We help each other to do our jobs.

**Being positive.** Being positive and helpful means, we keep our goals in mind and look for ways to achieve them. We listen constructively and help others see opportunities and the way forward. We have a 'can do' attitude and are continuously looking for ways to help each other improve.

Person Specification Requirements			Assessed by A/I/T/C (see below for explanation)
Knowledge	Essential	Desirable	Assessed
Knowledge of local government service		Y	A/I
Understanding of internal audit services		Y	A/I
Understanding of risk management and control		Y	A/I
Understanding of governance		Y	A/I
Experience	Essential	Desirable	Assessed
Ability to collate financial information and analyse data		Y	A / I
Ability to present information and data in reports		Y	A / I/T
Ability to use IT systems		Y	A / I
Ability to communicate effectively	Y		A / I / T
Ability to work to time constraints and deadlines	Y		A / I

Ability to work as part of a team operating in many different locations	Y		A / I
Flexible and adaptable and willing to change working patterns to meet service requirements	Y		A / I
<b>Skills</b>	<b>Essential</b>	<b>Desirable</b>	<b>Assessed</b>
Good written and verbal communication skills	Y		A / I/T
Ability to undertake audit work and write clear and concise reports for senior managers		Y	A / I/T
Ability to undertake detailed analysis work accurately		Y	A / I/T
Competent user of Microsoft Word & Excel		Y	A / I/T
<b>Qualifications- Scale 3</b>	<b>Essential</b>	<b>Desirable</b>	<b>Assessed</b>
2 A Levels or equivalent	Y		A
English and Maths GCSE to C (or level 4)	Y		A
<b>Qualifications – Scale 4</b>			
Degree or equivalent	Y		A

**A – Application form / CV**

**I – Interview**

**T – Test**

**C - Certificate**