

INFORMATION PACK



SENIOR AUDITORS



HM TREASURY

Senior Auditors in Treasury Internal Audit

Information for Applicants

HM Treasury

We employ about 1,100 people. Our main job is to improve the United Kingdom's economic performance through the development of appropriate government policies, working closely with our colleagues in other Government Departments.

We're based in first class newly refurbished offices in Westminster: a single site for all our staff.

We have around 60 different teams grouped into 7 directorates. Many of the teams will have differing needs and priorities.

The Team

Treasury Internal Audit primarily provides an independent and objective opinion to the Accounting Officer on risk management, control and governance, by measuring and evaluating their effectiveness in achieving the organisation's agreed objectives. Risk management, control and governance comprise the policies, procedures and operations established to ensure the achievement of objectives, the appropriate assessment of risk, the reliability of internal and external reporting and accountability processes, compliance with applicable laws and regulations, and compliance with the behavioural and ethical standards set for the organisation.

Treasury Internal Audit also undertake a range of consultancy assignments specifically to help line management improve the organisation's risk management, control and governance.

The job

The Treasury's internal audit team are looking for two experienced senior auditors. In Treasury Internal Audit you will be given real responsibility and have a part to play in developing and delivering what we do. Importantly you will bring with you valuable experiences and skills, from education, previous employment, and wider interests. The role is demanding, providing an internal audit service within a complex, challenging and dynamic environment. The successful candidates will undertake specific audit assignments within HM Treasury. The assignments are varied and would suit self-motivated and enthusiastic professional internal auditors with several years experience.

The skills required

We are looking for someone who:

- Is MIIA, CIPFA or CCAB qualified
- Has some knowledge of project, policy and/ or IT auditing
- Takes a strategic approach
- Thinks creatively and develops practical solutions to problems
- Can represent the team and the Treasury confidently & professionally
- Is self-motivated, independent and adaptable
- Has effective report writing and presentational skills
- Can quality assure an audit assignment

The following may also be useful:

- Knowledge of Government Accounting
- Project Management Experience
- Experience in a policy development area
- Mentoring skills

The Treasury has a 'competence framework' which describes 'effective' and 'ineffective' behaviours. The framework is used for selection, promotion, and ongoing performance measurement. It would be helpful if the examples in your covering letter highlight your experience of:

- **Focusing on Results** – working effectively to deliver quality and timely outcomes
- **Valuing Everyone** – valuing every individual's skills and needs
- **Developing Professionalism** – applying skills and knowledge in a professional way
- **Managing Effectively** – motivating and developing people to achieve high performance
- **Communicating Well** – communicating effectively and working collaboratively with key stakeholders
- **Thinking Strategically** – focusing on the bigger picture to achieve long term aims

The Benefits

Salary

The base salary for this role will be within the range £26,525 – £31,200. On top of this base salary is an auditor's allowance of up to £5000, payable whilst in this post, which will be decided according to your level of your qualifications and relevant experience. Should you move to another post elsewhere in the

Treasury, your auditor's allowance would be reviewed. Once appointed, pay increases are entirely performance related and based on annual appraisal.

Type of appointment

Initially these posts will be fixed-term appointments for up to three years, with the possibility of extension or of being made permanent.

Extensive training and development opportunities

We achieved Investors in People (IiP) accreditation in December 1999 and maintained our accreditation when we were assessed in June 2001, demonstrating that we are fully committed to training and development of all employees. We offer every opportunity to our employees to acquire the necessary skills and knowledge to do their jobs well.

Working hours

Your hours will be the equivalent of 41 hours a week including daily lunch breaks of one hour.

This role has been designed as a full time job but the Treasury successfully operates alternative working arrangements such as job share, flexible hours and home working.

Holiday allowance

You will be entitled to 25 days of holiday allowance, rising to 30 days after 4 years of service. You will also receive 10 ½ public and privilege holidays.

Generous pension scheme

HM Treasury offers a choice of final salary and stakeholder pensions to permanent and fixed term employees, giving you the flexibility to choose the scheme that best suits your needs. The premium scheme (final salary) provides a pension based on 1/60th of your final pensionable earnings for each year of reckonable service in the scheme. Contributions will be based on 3.5% of your pensionable pay. The 'partnership' scheme (stakeholder) allows you to decide how much you want to contribute. Your employer will make a contribution as a percentage of your pensionable earnings. The level of contribution varies according to your age. Further information about these pension schemes will be made available to successful candidates.

Family- friendly policies

We do what we can to help our staff combine demanding jobs with domestic responsibilities. Achieving a good work-life balance is, we believe, important. As you would expect we give maternity and paternity leave; we also operate alternative working patterns, including flexible working hours, part-time and

job sharing; and we offer career breaks to those wishing to study (for a relevant qualification) or look after their children.

Diversity & Equal Opportunities policies

HM Treasury believes a diverse workforce makes a positive impact on what we can achieve. We want to do everything we can to ensure that we reflect the society we serve, valuing diversity every step of the way.

We take our commitments seriously. If you are disabled we will make any reasonable adjustments to help your career with us.

Our aim is to create an inclusive culture in which diversity is fully valued. We want to reflect the diversity of society generally, as well as benefiting from the talents a diverse workforce brings to us. Valuing diversity also brings benefits for individuals, recognizing that the use of flexible and alternative patterns of working assists people to achieve a better balance between work and their other activities.

If you would like further details about our Diversity policies, feel free to contact our Diversity Team on 020 7270 4523.

Eligibility

These posts are open to those UK nationals, Commonwealth citizens, nationals of EC and EEA states, and nationals of Switzerland who have the right to live and work in the UK.

We recruit and promote strictly on ability and performance. We welcome applications from all qualified individuals. We do not discriminate on grounds of gender, marital status, race, colour, religion, ethnic origin, sexual orientation, disability, community background or age subject to our policy that all staff retires at 60.

The successful candidates will normally be expected to serve a probation period of one year.

We guarantee an interview to any candidate who declares themselves as disabled on their application and who meets the minimum selection criteria for the job as shown under "the skills required". Such candidates will be considered on their abilities in competition with other candidates invited for interview.

Further Information

If you would like to find out more about the job please call Ross Fraser on 0207 270 5383.

How to apply

The closing date for applications is **26th January 2004**. Please send:

A CV and covering letter, which includes details of:

- how you meet the criteria for this role; and
- relevant qualifications and employment history.

Please also complete and return the enclosed nationality statement and diversity monitoring form (attached at the end of this document).

If you have a disability please include brief details in your covering letter of what arrangements, if any, you would require if called for interview.

Applications should be sent to: Dan Kelleher, HR Services Team, HM Treasury, Room G/E3, 1 Horse Guards Road SW1A 2HQ or emailed to daniel.kelleher@hm-treasury.gov.uk

Selection process

Selection will be by interview, which we expect to hold in February. Please let us know if there are any dates in February that you cannot make.

We guarantee an interview to any candidate who declares themselves as disabled in their application, and who meets the minimum selection criteria for the job as shown under 'the skills required' above. Such candidates will be considered on their abilities in competition with other candidates invited for interview.

Pre appointment enquiries

If you are successful, there will be some pre-appointment enquiries, e.g. references, security, nationality and health checks before HM Treasury can make you a formal offer of appointment. Your application may be rejected or you may be dismissed if you withhold relevant details or give false information.

Data protection

When submitting your application, please note that you are doing so on the understanding that the data you have given will be processed and that you give permission for your details to be retained as set out below. Any data about you will be held in secure conditions, with access restricted to those who need it in connection with your application and selection. Data may also be used for the purposes of monitoring the effectiveness of the recruitment

scheme; in these circumstances, all data will be kept anonymous. If you are unsuccessful, your application will be destroyed after 12 months. If you are successful, data will be passed to the Treasury's HR team.

HM Treasury Recruitment - Nationality Statement

Name:

Job applied for:

Nationality at birth:

Present nationality:

Have you ever possessed any other nationality or citizenship? Y/N *(If yes, please specify)*

Are you subject to immigration control? Y/N *(If yes, please specify)*

Are there any restrictions on your continued residence or employment in the UK? Y/N *(If yes, please specify)*

Are you lawfully resident in the UK? Y/N

Declaration:

The details given above are correct to the best of my knowledge and belief.

Signature *(can be electronic)*

Date

Note on eligibility: HM Treasury vacancies are open to those UK nationals, Commonwealth citizens, nationals of EC and EEA states who have the right to live and work in the UK. If you are appointed, documentary evidence will be sought to confirm your answers.

HM Treasury Recruitment: Diversity Monitoring Form

The Treasury is an equal opportunities employer. We want to ensure that all staff are treated fairly irrespective of their gender, marital status, race, colour, nationality, ethnic origin, disability, religion, sexual orientation, age (except in relation to the Treasury's retirement policy) or background. Information on this questionnaire will be treated in the strictest confidence. We request it in order to produce statistics on the number of applicants from ethnic minority groups and those who are disabled to ensure that the Treasury's recruitment processes are not disadvantaging anyone.

Name..... Job applied for

Do you consider yourself to be covered by the definition of disability in the Disability Discrimination Act? (please see definition below) Y/N

Gender: M/F

Which of the groups do you most identify with?

Please put a cross in only **ONE** box in **section A** and **ONE** box in **section B** (the options are listed alphabetically).

Section A: National Identity

(i.e. how you identify with the main national groups within the UK. Please put a cross in one box in this section).

- | | | | |
|------------------------------|--------------------------|------------------------------|-----------------------------------|
| (A) <input type="checkbox"/> | British or Mixed British | (B) <input type="checkbox"/> | English |
| (C) <input type="checkbox"/> | Irish | (D) <input type="checkbox"/> | Scottish |
| (E) <input type="checkbox"/> | Welsh | (F) <input type="checkbox"/> | Or Another? (specify if you wish) |
-

Section B: Ethnic Identity (Please put a cross in one box in this section).

ASIAN

- (A) Bangladeshi
(B) Indian
(C) Pakistani
(D) Any other Asian background
(specify if you wish)
-

MIXED ETHNIC BACKGROUND

- (I) Asian and White
(J) Black African and White
(K) Black Caribbean and White
(L) Any other Mixed ethnic background
(specify if you wish)
-

BLACK

- (E) African
(F) Caribbean
(G) Any other Black background
(specify if you wish)
-

WHITE

- (M) Any White background (specify if you wish)
-

CHINESE

- (H) Any Chinese background
(specify if you wish)

ANY OTHER BACKGROUND

- (N) Any other ethnic background (specify if you wish)

Definition of Disability

The Disability Discrimination Act 1995 introduced a new definition of disability. As a result, disability is not defined by whether someone has a particular condition, but about the effect of the condition on normal day to day activities.

The Act defines disability as follows:

A person is disabled if they have a physical or mental impairment which has a substantial and long term adverse effect on their ability to carry out normal day to day activities.

This means that to be covered by the Act a person must have a condition which:

- is not just temporary
- adversely affects their ability to carry normal day to day activities
- has a substantial effect – not just a minor or trivial one

The Act covers people who have a disability or have had a disability in the past (even if they have fully recovered).

The main concepts used in the Act's definition are:

- **impairment**
This covers physical or mental impairments, and includes sensory impairments such as those which affect sight or hearing. Mental impairments include those that affect mental functioning, including learning disabilities. It includes clinically well-recognised mental illness – that is to say mental illness that is recognised by a respected body of medical opinion.
- **substantial adverse effect**
This means that the disability must have had an adverse effect which is more than minor or trivial.
- **long term effect** This means an effect which;
 - has lasted at least 12 months; or
 - is likely to last for a total period of at least 12 months; or
 - is likely to last for the rest of a person's life, even if that person isn't expected to live for 12 months.
- **normal day to day activities**
Broadly speaking these are activities which people do, fairly frequently or regularly. The Act says there must be an effect on the person's ability to carry out normal day to day activities, not necessarily an effect on the activities themselves.

Additional information

The Act's definition also covers: disabilities being treated (examples include epilepsy corrected by medication or diabetes controlled by insulin), people who were disabled in the past but have recovered (e.g. past history of cancer or mental illness), severe disfigurements, progressive conditions and people who were formally registered as disabled.

What the DDA does

In brief, the Disability Discrimination Act makes it unlawful for employers with 15 or more staff to discriminate against current or prospective employees with disabilities, because of a reason relating to their disability. Employers may also have to make reasonable adjustment, if their employment arrangements or premises substantially disadvantage a disabled employee or applicant.

HM Treasury's Competence Framework (Range D-E)

EFFECTIVE BEHAVIOUR	INEFFECTIVE BEHAVIOUR
<p>FOCUSSING ON RESULTS <i>Working effectively to deliver quality & timely outcomes</i></p>	
<ul style="list-style-type: none"> ✓ Delivers results on time and within the resources allocated ✓ Identifies objectives, and remains focussed on them ✓ Creates practical & achievable plans, and monitors them ✓ Prioritises & manages own work and projects effectively ✓ Evaluates outcomes & carries out follow-up where necessary 	<ul style="list-style-type: none"> ✗ Easily distracted; loses sight of the objectives ✗ Carries out open-ended meetings with no clear purpose, or delays meetings by arriving late ✗ Makes the same mistakes (that he/she is aware of) repeatedly ✗ Fails to build in evaluation to tasks or find time for review
<p style="text-align: center;"><u>VALUING EVERYONE</u> <i>Valuing every individual's skills and needs</i></p>	
<ul style="list-style-type: none"> ✓ Deals with people & issues honestly, fairly & with respect ✓ Acknowledges that others have different needs outside work ✓ Is approachable, actively seeks out & is willing to listen to the views of others irrespective of grade/gender/cultural background ✓ Understands & shows commitment to diversity ✓ Challenges inappropriate behaviour 	<ul style="list-style-type: none"> ✗ Fails to appreciate abilities & objectives of others, or does not realise they differ from own ✗ Is not receptive to alternative/flexible working patterns ✗ Denigrates others for their new ideas ✗ Offers criticism without offering any solutions
<p>DEVELOPING PROFESSIONALISM <i>Applying skills and knowledge in a professional way</i></p>	
<ul style="list-style-type: none"> ✓ Develops relevant specialist knowledge, and effectively applies it to work issues ✓ Seeks out opportunities to learn & keep up-to-date with latest developments in own area of work ✓ Demonstrates appropriate knowledge of the workings of Treasury, other departments, agencies, government and parliament, the EU and the role of the media ✓ Shares knowledge and best practice openly with others for wider HMT benefit ✓ Gives advice based on sound evidence and analysis 	<ul style="list-style-type: none"> ✗ Makes unqualified assumptions rather than gathering the facts/evidence ✗ Doesn't put new learning into practice ✗ Ignores development opportunities (e.g., seminars, industry events) ✗ Refuses to consider alternative ways to solve problems or issues

EFFECTIVE BEHAVIOUR	INEFFECTIVE BEHAVIOUR
<u>MANAGING EFFECTIVELY</u> <i>Motivating and developing people to achieve high performance</i>	
<p>For individuals with formal line management responsibilities:</p> <ul style="list-style-type: none"> ✓ Builds an effective team, encouraging flexibility & mutual support ✓ Delegates to lowest appropriate level, taking account of the workloads of others ✓ Gives regular, constructive feedback to <u>all</u> staff ✓ Tackles poor performance & conflict in the team <p>For all individuals:</p> <ul style="list-style-type: none"> ✓ Contributes fully to effective team performance ✓ Actively promotes & supports fairness & equality of opportunity ✓ Takes time to effectively train/tutor individuals in new skills ✓ Ensures knowledge sharing & keeps good records ✓ Works to understand the reasons for change & helps engage others in the change process 	<ul style="list-style-type: none"> ✗ Fails to delegate challenging or interesting work, not allowing for development ✗ Double checks every detail of work that has been delegated ✗ Engages in bullying behaviour ✗ Takes credit for work of others (not acknowledging their contribution) ✗ Leaves people to “flounder around” without providing assistance
COMMUNICATING WELL <i>Communicating effectively and working collaboratively with key stakeholders</i>	
<ul style="list-style-type: none"> ✓ Builds and maintains effective working relations, internally & externally to HMT, to share best practice & achieve best practical outcomes ✓ Identifies & consults key stakeholders ✓ Represents the team, department or the UK confidently & professionally at meetings, presentations, conferences and events ✓ Makes and presents a case persuasively/convincingly & negotiates effective outcomes ✓ Drafts & presents material/policy effectively, highlighting constraints where applicable ✓ Seeks to avoid information overload, using the most effective method of communication 	<ul style="list-style-type: none"> ✗ Does not appreciate the differing views of colleagues ✗ Fails to consult key stakeholders ✗ Fails to prepare adequately before meeting with others
THINKING STRATEGICALLY <i>Focusing on the bigger picture to achieve our long-term vision</i>	
<ul style="list-style-type: none"> ✓ Focuses on the long-term goals/business plan to ensure the organisation’s aims and objectives are met ✓ Takes a strategic approach to planning within the team ✓ Considers the implications of wider issues - political, team, directorate, and departmental priorities ✓ Anticipates and manages risks and consequences ✓ Thinks creatively and develops practical solutions to problems, and encourages others to do the same 	<ul style="list-style-type: none"> ✗ Judges issues from purely theoretical perspectives without thinking through practical issues of implementation ✗ Over-analyses insignificant details/gets caught up in the small details ✗ Accepts other’s position on an issue without question ✗ Is cynical towards all new ideas, or is resistant to any suggested change (“I have always done it this way”)