

**Candidate  
Information  
Booklet**

**IRC243119**

**Internal Auditor - Staff Officer**

**Northern Ireland Civil Service (NICS)**

**Completed Application Forms  
must be submitted to  
HRConnect no later than 12  
noon (UK time) on  
**Friday 23<sup>rd</sup> August 2019****

**Please retain a copy of this  
booklet for your reference  
throughout the selection  
process.**

# Northern Ireland Civil Service (NICS)

## Communication between HRConnect and you

HRConnect will issue electronically as many competition communications as possible, you should therefore check your email account, including junk mail folder, to make sure that you don't miss any important communications in relation to this competition. There may, however, still be a necessity to issue some correspondence by hard copy mail.

## Contents

	Page
Foreword	3
Background	4
Terms and Conditions	6
General Information	18

## **FOREWORD**

Each year the Northern Ireland Assembly authorises the expenditure on public services in Northern Ireland.

Northern Ireland Civil Service (NICS) departments are responsible for overseeing the allocation and management of this money through a wide range of public organisations, which include the departments, their agencies, non-departmental public bodies and other arm's length bodies, ensuring that the money is spent appropriately and that value for money is achieved in the delivery of services. The Permanent Secretary of each department, who is designated as the Accounting Officer, is personally responsible to the NI Assembly for how this money is spent.

Effective internal audit services are a critical element of delivering strong public accountability and the role of Internal Audit is frequently recognised by the reports and recommendations of the NI Assembly Public Accounts Committee. Internal Audit needs to focus on key risk areas to assist the Accounting Officer by ensuring that appropriate systems of control are in place to achieve the department's business objectives. It is therefore important that Internal Auditors recruited to the NICS are sufficiently qualified and competent to objectively provide the assurance required.

As an Internal Auditor within one of the NI departments you will be given the opportunity to audit a wide range of systems in a variety of environments, doing so in line with Public Sector Internal Audit Standards (PSIAS) and the standards of the Chartered Institute of Internal Auditors (IIA – UK & Ireland). Departments are committed to developing their professional Internal Audit services and you will also be supported and encouraged to pursue your continuous professional development.

I hope that this information encourages you to apply for such posts within the NICS.

**Michelle Anderson**  
**Group Head of Internal Audit**  
**Department of Finance**

## BACKGROUND

Internal Audit within central government primarily provides Accounting Officers (heads of departments and agencies) in an economical, efficient and effective manner, with an objective evaluation of, and opinion on, the overall adequacy and effectiveness of the organisation's framework of governance, risk management and control.

It helps an organisation achieve its objectives by bringing a systematic, disciplined approach to evaluating and improving the effectiveness of its governance, risk management and control processes. Governance, risk management and control 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.

Internal Audit also provides an independent and objective consulting service specifically to help line management improve the organisation's governance, risk management and control. The service applies the professional skills of Internal Audit through a systematic and disciplined evaluation of the policies, procedures and operations that management put in place to ensure the achievement of the organisation's objectives.

Both assurance and consulting work contribute to the opinion which Internal Audit provides on risk management, control and governance.

The NICS Group Internal Audit Service is located within the Department of Finance, providing a service to all NICS Departments and a range of agencies and other sponsored bodies. Whilst successful candidates may be allocated to specific departments, they may be required to work across different locations and within any of the bodies to which the Group Service provides a service.

All departmental Internal Audit units are required to comply with the Public Sector Internal Audit Standards (PSIAS) as issued by the Department of Finance. Based primarily on the Chartered Institute of Internal Auditors' International Standards PSIAS and other associated Internal Audit guidance can be obtained on the AFMD website

[https://www.finance-ni.gov.uk/sites/default/files/publications/dfp/daodfp0616att\\_0.pdf](https://www.finance-ni.gov.uk/sites/default/files/publications/dfp/daodfp0616att_0.pdf)

## KEY RESPONSIBILITIES

The successful candidate will report to the Audit Manager or Head of Internal Audit and the main duties and responsibilities will include:

- Planning a programme of internal audit assignments, identifying and assessing key risks and agreeing a Terms of Reference for each audit assignment;
- Recording, evaluating and testing risk management and internal control processes using appropriate audit skills, techniques and judgement;
- Agreeing audit findings, conclusions and recommendations with management;
- Formally reporting findings and opinions to audit clients;
- Assisting the Audit Manager and the Head of Internal Audit in the provision of a consulting service (including advice and guidance) to help management improve risk management, control and governance, including system development work;
- Any other relevant duties as required of the post.

**The above list is not exhaustive but gives a good indication of the main duties of the post. The emphasis on particular duties will vary over time according to business needs.**

## **TERMS AND CONDITIONS**

There are currently a number of permanent full time posts.

Further appointments may be made from this competition should NICS positions become vacant which require the same eligibility criteria and have similar duties and responsibilities.

### **Location**

The NICS Group Internal Audit Service has offices in Belfast City Centre, Bangor, Londonderry and the Stormont Estate. While most of the posts are based in the Greater Belfast area with some posts available in Londonderry, applicants should be prepared to travel anywhere in Northern Ireland.

Candidates appointed to the Department of Justice (DoJ) should be prepared to visit NI Prison Service establishments and police stations.

### **Salary**

Depending on the qualifications held the salary scale applicable will be;-

- Staff Officer Auditor (CIA or equivalent) £31,626 – £33,257 (under review)
- Staff Officer Auditor (CMIIA or equivalent) £32,726 – £34,357 (under review)

Salary will be within the above scales within which pay progression will be as per current NICS/ pay policy. Starting salary will normally be the minimum of the scale. If the successful candidate is an existing civil servant, normal pay on promotion / regrading arrangements will apply.

### **Pensions**

The NICS offers all employees an attractive pension package. Further details can be found on the Principal Civil Service Pensions Scheme (Northern Ireland) website at [www.finance-ni.gov.uk/civilservicepensions-ni](http://www.finance-ni.gov.uk/civilservicepensions-ni)

### **Holidays**

In addition to public and privilege holidays, currently 12 days, the annual leave allowance will be 25 days, rising to 30 days after 5 years' service.

### **Hours of Work**

The normal conditioned hours of work are full-time: 42 hours per week which includes a 1 hour meal break (37 hours net) Monday to Friday. Most offices work flexi-time.

## **Travel**

As applicants are required to travel on official duty, successful candidates must have access to a form of transport, which will enable them to fulfil their responsibilities.

On occasion overnight stays may be required. The posts may also entail occasional travel outside Northern Ireland, usually to Great Britain.

## **Vetting**

An appointment will be dependent on the individual satisfying the vetting requirements for the post. The level of vetting required for this post is Basic.

Whilst successful candidates will be allocated to specific Departments, they will be required to work across different locations and within any of the bodies to which the Group Service provides a service; this includes prison and police establishments. You therefore must be willing to apply for a higher level of vetting.

## **Probation**

Confirmation of appointment will be dependent upon the satisfactory completion of a probationary period of 1 year. If performance, conduct or attendance during this period is not satisfactory the appointment may be terminated.

## **Career Development**

The NICS is committed to career development and offers attractive career prospects across a wide variety of roles and professions. Career development is an integral part of the performance management system. Personal Development Plans identify learning and development needs with a view to enhancing skills and capabilities. NI Civil Servants have access to a wide range of internal job opportunities, including secondments with external organisations and are encouraged and supported in proactively managing their career.

Candidates will be expected to have successfully completed their probationary period and to have completed a total of 2 years satisfactory service before being allowed to apply for internal lateral career opportunities within the NI Civil Service.

## **Conflict of Interest**

It is a basic requirement of all Civil Servants that their private activities should not bring them in to conflict with their official duties.

Conflict of Interest is not limited to the individual's own private, financial or other interests, as family, friends and associates may also have dealings

which affect the Department's business directly or indirectly. Therefore to avoid any conflict or potential conflict and to demonstrate impartiality to the public at all times, an officer must not, without prior approval, engage in any activity which could be considered to be in conflict with official business.

### **Further Information**

Applicants wishing to learn more about the post before deciding to apply may telephone Michelle Anderson on 02890 520 053 or email [michelle.anderson@finance-ni.gov.uk](mailto:michelle.anderson@finance-ni.gov.uk).

If you have any questions about the competition process, or require any documentation in an alternative format, you should contact HRConnect on 0800 1 300 330 or email: [recruitment@hrconnect.nigov.net](mailto:recruitment@hrconnect.nigov.net)

## **ELIGIBILITY CRITERIA**

Applicants must, by the closing date for applications:

1a) Hold one of the following qualifications and have current membership of the relevant Institute:

- The Chartered Institute of Internal Auditors (CIA, PIIA or CMIIA);
- The Chartered Institute of Public Finance and Accountancy (CIPFA) Diploma in Public Audit (DPA) or Advanced Diploma in Public Audit (ADPA).

AND

1b) Demonstrate a sound understanding of risk, control and corporate governance principles and its impact on the work of Internal Audit.

AND

1c) At least 2 years practical experience, gained within the last 5 years, of applying risk/systems based internal audit principles.

**OR**

2a) Be a full current professional member of one of the following bodies:-

- The Institute of Chartered Accountants Ireland;
- The Institute of Chartered Accountants in Scotland;
- The Institute of Chartered Accountants in England and Wales;
- The Chartered Institute of Management Accountants;
- The Association of Chartered Certified Accountants;
- The Chartered Institute of Public Finance and Accountancy;
- Institute of Certified Public Accountants in Ireland.

AND

2b) Demonstrate a sound understanding of risk, control and corporate governance principles and its impact on the work of Internal Audit.

AND

2c) At least 2 years practical experience, gained within the last 5 years, of carrying out audit work of which at least 1 year must have been practical experience of applying risk/systems based internal audit principles.

Applications will also be considered from applicants with relevant formal qualifications/professional membership considered by the selection panel to be of an equivalent or higher standard to those stated.

**Relevant** or **equivalent** qualifications: give the type of qualification and date awarded (the date awarded is the date on which you were notified of your result by the official awarding body). If you believe your qualification is equivalent to the one required, the onus is on you to provide the panel with details of modules studied etc so that a well-informed decision can be made.

You will be required to provide documentary evidence of your qualifications/professional membership at interview so please ensure you have these readily available.

**Please note:**

- You should ensure that you provide evidence of your experience in your application form, giving length of experience, examples and dates as required.
- It is not sufficient to simply list your duties and responsibilities.
- The selection panel will not make assumptions from the title of the applicant's post or the nature of the organisation as to the skills and experience gained.
- If you do not provide sufficient detail, including the appropriate dates needed to meet the eligibility criteria, the selection panel will reject your application.
- The examples you provide should be concise and relevant to the criteria. This is very important as the examples which you provide may be explored at interview and you may need to be prepared to talk about these in detail if you are invited to interview. It is your unique role the panel are interested in, not that of your team or division.
- Write down clearly your personal involvement in any experience you quote. Write "I" statements e.g. I planned meetings, I managed a budget, I prepared a presentation. It is how you actually carried out a piece of work that the panel will be interested in.
- ONLY the details provided by you in your application form (the employment history and eligibility criteria) will be provided to the selection panel for the purpose of determining your eligibility for the post. Please do not include your name in the employment history or eligibility criteria sections.
- The NICS Competency framework can be accessed via [www.nicsrecruitment.org.uk](http://www.nicsrecruitment.org.uk)

## **ASSESSMENT PROCESS**

The selection process will include a competence based interview.

### **1. Seeing the Big Picture**

Seeing the big picture is about having an in-depth understanding and knowledge of how your role fits with, and supports, organisational objectives and the wider public needs. For all staff, it is about focusing your contribution on the activities which will meet Departmental and Programme for Government goals and deliver the greatest value.

Marks available: 25            Minimum Standard: 15

### **2. Changing and Improving**

People who are effective in this area are responsive, innovative and seek out opportunities to create effective change. For all staff, it is about being open to change, suggesting ideas for improvements to the way things are done, and working in 'smarter', more focused ways.

Marks available: 25            Minimum standard: 15

### **3. Making Effective Decisions**

Effectiveness in this area is about being objective, using sound judgement, evidence and knowledge to provide accurate, expert and professional advice. For all staff, it means showing clarity of thought, setting priorities, analysing and using evidence to evaluate options before arriving at well-reasoned, justifiable decisions.

Marks available: 25            Minimum standard: 15

### **4. Leading and Communicating**

At all levels, effectiveness in this area is about leading from the front and communicating with clarity, conviction and enthusiasm. It is about supporting principles of fairness of opportunity for all and a dedication to a diverse range of citizens.

Marks available: 15

## **5. Collaborating and Partnering**

People skilled in this area create and maintain positive, professional and trusting working relationships with a wide range of people within and outside the NICS, to help to achieve business objectives and goals. At all levels, it requires working collaboratively, sharing information and building supportive, responsive relationships with colleagues and stakeholders, whilst having the confidence to challenge assumptions.

Marks available: 15

## **6. Managing a Quality Service**

Effectiveness in this area is about being organised to deliver service objectives and striving to improve the quality of service, taking account of diverse customer needs and requirements. People who are effective plan, organise and manage their time and activities to deliver a high quality and efficient service, applying programme and project management approaches appropriately and effectively to support service delivery.

Marks available: 15

**Total Marks Available: 120**

**Overall Pass Mark: 72**

## **COMPETENCE BASED INTERVIEWS**

Selection panels will design questions to test the applicant's knowledge and experience in each of the above areas and award marks accordingly.

No notes or personal documentation may be brought into the interview room.

## **INTERVIEWS**

It is intended that interviews for this post will take place in Belfast during week commencing 16<sup>th</sup> September 2019.

## **NICS COMPETENCY FRAMEWORK**

The selection process will assess candidates against the NICS competency framework at level 3.

The NICS competency framework sets out how all NICS employees should work. It puts the Civil Service values of integrity, honesty, objectivity and impartiality at the heart of everything they do, and it aligns to the three high-level leadership behaviours that every civil servant needs to model as appropriate to their role and level of responsibility: Set Direction; Engage People and Deliver Results.

Competencies are the skills, knowledge and behaviours that lead to successful performance. The framework outlines ten competencies, which are grouped into three clusters. The competencies are intended to be discrete and cumulative, with each level building on the levels below i.e. a person demonstrating a competency at level 3 should be demonstrating levels 1 and 2 as a matter of course.

The Northern Ireland Civil Service competency framework can be accessed via [www.nicsrecruitment.org.uk](http://www.nicsrecruitment.org.uk)

**It is important that all candidates familiarise themselves with the competency framework as this forms the basis of selection process. Should you require assistance in accessing the competency framework please contact HRConnect.**

## GUIDANCE FOR APPLICANTS

### APPLICATION FORM

Please refer to the Candidate Information Booklet before making your application and retain a copy for your reference. The application form is designed to ensure that applicants provide the necessary information to determine how they meet the competition requirements and the eligibility/shortlisting criteria. **All** parts of the application form **must** be completed by the applicant before this application can be considered. Failure to do so may result in disqualification.

#### **Please note:**

- Applicants are encouraged to submit online applications wherever possible. However, hard copy application packs are available on request. All applications will be treated equally regardless of whether they are hard copy or online.
- The space available on the application form is the same for all applicants and must not be altered.
- We will not accept CVs, letters, additional pages or any other supplementary material in place of or in addition to completed application forms, unless it is specifically requested in the application form and candidate information booklet.
- All applications must be received by the advertised closing date and time.
- Information in support of your application will not be accepted after the closing date for receipt of applications.
- HRConnect will not examine applications until after the closing deadline;
- Do not use acronyms, complex technical detail etc. Write for the reader who may not know your employer, your branch or your job.
- Only the employment history, eligibility and shortlisting sections will be made available to the panel.
- When completing the online application, your information is saved as you move through the pages. You may leave the application at any time, providing you have clicked on the 'Save & Continue' button. Once your application has been submitted the option to edit will no longer be available.
- The session timeout for the online application is 40 minutes, if you do not save or change page within this time you will automatically be logged out and any unsaved work will be lost.
- You must click SUBMIT once you have finished your online application. You will receive an acknowledgement email. Please contact HRConnect if you do not receive an acknowledgement email within 24 hrs.

### **Help with making your application**

You can get advice or assistance with making an application from your local Jobs and Benefits Office - contact details are available on NIDirect: <https://www.nidirect.gov.uk/contacts/jobs-benefits-offices-jobcentres-and-social-security-offices>

You can also get advice or assistance from local disability employment organisations. To find out more about local disability employment organisations contact Northern Ireland Union of Supported Employment (NIUSE), an umbrella group for individuals and organisations promoting opportunities for people with disabilities to access and maintain employment, email [info@niuse.org.uk](mailto:info@niuse.org.uk), tel. 0044 (0)28 71 377709, text phone 0044 (0) 28 71 372077

## **GUIDANCE FOR APPLICANTS**

### **INTERVIEW PREPARATION**

**If this is your first experience of a competence-based interview, bear in mind that it does not require you to:**

- Talk through previous jobs or appointments from start to finish;
- Provide generalised information as to your background and experience; or
- Provide information that is not specifically relevant to the competence the question is designed to test.

**A competence-based interview does however require you to:**

- Focus exclusively, in your responses, on your ability to fulfill the competences required for effective performance in the role; and
- Provide specific examples of your experience in relation to the required competence areas.

**In preparation for the interview you may wish to think about having a clear structure for each of your examples, such as:**

- Situation – briefly outline the situation;
- Task – what was your objective, what were you trying to achieve;
- Action – what did you actually do, what was your unique contribution;
- Result – what happened, what was the outcome, what did you learn.

The panel will ask you to provide specific examples from your past experience to demonstrate the range of behaviours associated with the competences being assessed. You should therefore come to the interview prepared to discuss in detail a range of examples which best illustrate your skills and abilities in each competence area. You may draw examples from any area of your work / life experiences.

For professional and technical posts, questions may be framed in the context of professional elements of the post.

## GENERAL INFORMATION

### **The Merit Principle**

In accordance with the Office of the Civil Service Commissioners' Recruitment Code, appointments to the NICS are made under the 'merit principle', where the best person for any given post is selected in fair and open competition.

Further information on the Civil Service Commissioners can be found at [www.nicscommissioners.org](http://www.nicscommissioners.org).

### **NICSHR Privacy Notice**

NICSHR are committed to protecting your privacy. HRConnect manage job applications on behalf of NICSHR, in line with the NICSHR privacy notice available via [www.nicsrecruitment.org.uk](http://www.nicsrecruitment.org.uk)

### **Offers of Employment**

Candidates will only receive one offer of appointment which, if not accepted, will generally result in withdrawal from the competition.

### **Changes in personal circumstances and contact details**

Please ensure HRConnect are informed immediately of any changes in personal circumstances. It is important that HRConnect have up to date contact details.

### **Transgender Requirements**

Should you currently be going through a phase of transition in respect of gender and wish this to be taken into consideration, in confidence, to enable you to attend any part of the assessment process please contact HRConnect. Details of this will only be used for this purpose and do not form any part of the selection process.

### **Merit List**

**HRConnect will allocate a candidate (or candidates) to a vacancy (or vacancies) in the order listed.** It is presently intended that the merit list for this competition should remain extant for a period of one year. However you should be aware that circumstances may arise in the future where it will be necessary to extend the currency of the merit list for a further period. The merit list will only be extended where cogent practical reasons for doing so arise.

## **Disability Requirements**

We will ask on the application form if you require any reasonable adjustments, due to disability, to enable you to attend any part of the assessment process. Details of any disability are only used for this purpose and do not form any part of the selection process. If you have indicated on your application that you have a disability and are successful in the selection process and are being considered for appointment, you may be required to outline any adjustments you consider necessary in order for you to take up an appointment. If you wish to discuss your disability requirements further, please contact HRConnect.

## **Documentation**

Identification documents to satisfy the Nationality and Security requirements of the post will be required. Further details regarding acceptable documentation will be issued with an invitation to attend for assessment.

You will be required to bring documentary evidence of your qualifications / professional membership to assessment.

You should ensure that the required documents are readily available.

## **Right to Work and Nationality Requirements**

HRConnect must ensure that you are legally entitled to work in the United Kingdom and satisfy the Nationality requirements for appointment to the NICS. Applicants must be either:

- (i) A UK national; or
- (ii) A Commonwealth citizen; or
- (iii) A British Protected Person; or
- (iv) An EEA national; or
- (v) A Swiss National; or
- (vi) A person who is not an EEA or Swiss national, but is a family member of an EEA national who has moved to the UK from another EEA Member State for an approved purpose.

Further guidance on Nationality requirements is available via [www.nicsrecruitment.org.uk](http://www.nicsrecruitment.org.uk).

## **Security**

### 1. Baseline Personnel Security Standard

For this post in the NICS the level of vetting is a Baseline Standard. For this check you will be required to provide the following:

- a) Your passport OR

- b) A document verifying your permanent National Insurance number (e.g. P45, P60 or National Insurance card) AND your birth certificate which includes the names of your parents (long version).
- c) A specimen signature at any assessment event and have this validated against passport, driving licence, application form etc.

Further information regarding the Baseline Personnel Security Standard, including other acceptable documents is available via [www.gov.uk](http://www.gov.uk).

We will organise a Criminal Record Check on all applicants to be carried out by AccessNI. The category of AccessNI check required for this post is;

### **Basic Disclosure Certificate**

You should not put off applying for a post because you have a conviction. We deal with all criminal record information in a confidential manner, and information relating to convictions is destroyed after a decision is made.

Once in post, you must be willing to apply for:

- 2. Counter Terrorist Check (CTC): as point 1 plus check of Security Service records.

### **Equal Opportunity Monitoring Form**

**Please note the Equal Opportunities monitoring section of the application form is mandatory in order to submit an application.**

For guidance on completing the Monitoring Form and to read the NICS Equal Opportunities Policy Statement please refer to the DoF website [www.finance-ni.gov.uk](http://www.finance-ni.gov.uk).

**The Northern Ireland Civil Service is an Equal Opportunities Employer.**

All applications for employment are considered strictly on the basis of merit

### **Feedback**

The Northern Ireland Civil Service is committed to ensuring that the processes used to recruit and select staff are fair and in accordance with the principles of the Civil Service Commissioners Code. We are consequently committed to providing feedback in respect of decisions taken in determining eligibility/shortlisting as well as at interview. Feedback in respect of eligibility/shortlisting will be communicated automatically to those candidates who fail to satisfy any criteria. All requests for feedback are welcome.

**THIS INFORMATION PACK DOES NOT FORM PART OF  
CONDITIONS OF EMPLOYMENT**