



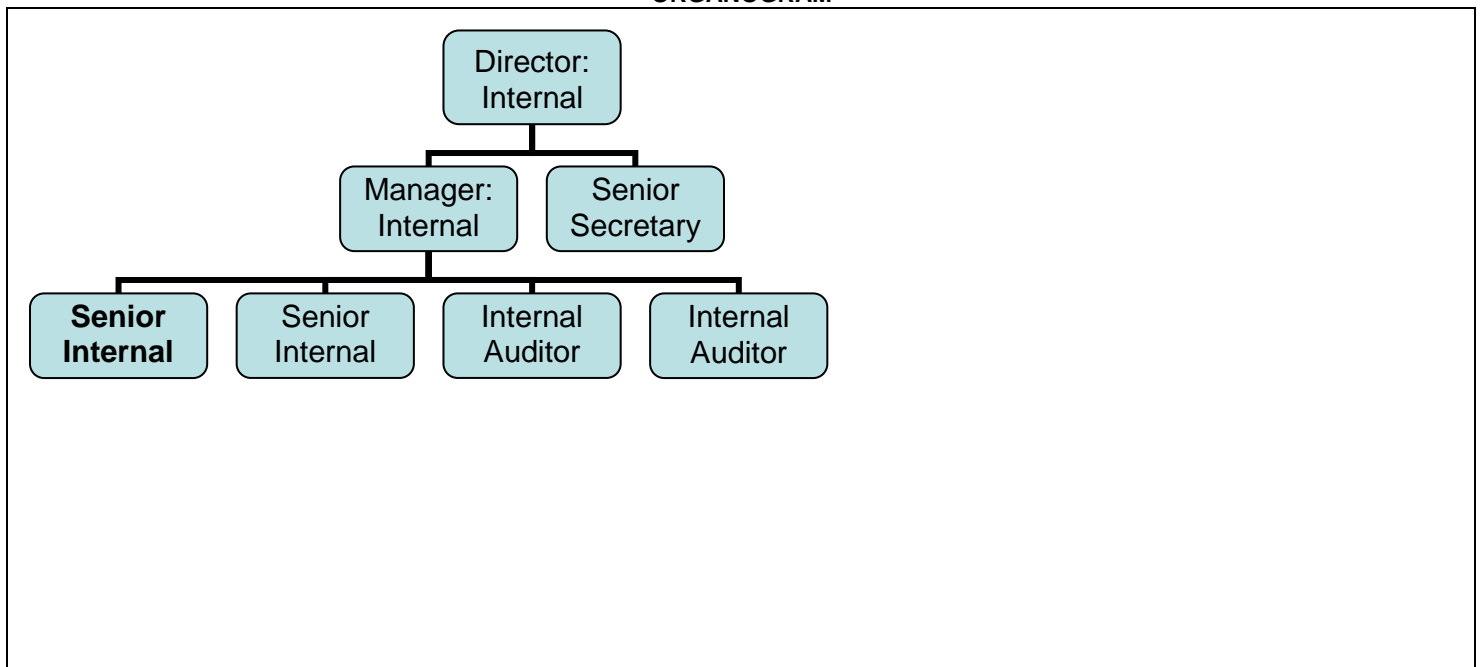
NOTES

- Forms must be downloaded from the UCT website: <http://forms.uct.ac.za/forms.htm>
- This form serves as a template for the writing of position descriptions.
- A copy of this form is kept by the line manager and the position holder.

POSITION DETAILS

Position title	Senior Internal Auditor		
Job title (HR Practitioner to provide)			
Position grade (if known)	PC10	Date last graded (if known)	
Academic faculty / PASS department	Internal Audit		
Academic department / PASS unit	OVC		
Division / section	Internal Audit		
Date of compilation	8 May 2018		

ORGANOGRAM



PURPOSE

The main purpose of this position is to perform and/or supervise full scope financial, compliance and operational audits in accordance with prescribed internal auditing standards.

CONTENT

Key performance areas		% of time spent	Inputs (Responsibilities / activities / processes/ methods used)	Outputs (Expected results)
1	Conduct financial, compliance and operational audits (including high risk, complex audits): Planning	30%	<ul style="list-style-type: none"> Obtains an in-depth knowledge of the area being reviewed, and is able to systematically and clearly document the processes/systems. This includes obtaining an understanding of any University applicable policies. Identifies risks based on the understanding of the area. Identifies controls, and the lack of controls, within the area being reviewed. Drafts audit programmes to assess the operating effectiveness of controls, or to substantively test an area. Able to logically analyse situations, and identify implications and opportunities for improvement. Able to clearly and succinctly express concepts verbally and in writing. Able to listen effectively and ensure accurate understanding of topics discussed Demonstrates resourcefulness in order to obtain missing information or resolve discrepancies. Able to maintain a high standard of work in varying environments and with different tasks, responsibilities and people. 	Preparation of well-written and excellent quality: <ul style="list-style-type: none"> Process documentation/systems descriptions. Risks and related controls. Audit programmes, which will accomplish stated objectives, address the risks and tests the controls identified.
2	Conduct financial, compliance and operational audits: Perform audit fieldwork	30%	<ul style="list-style-type: none"> Prepares, organises and maintains documentation of audits by drafting logical and indexed working papers that adequately support audit conclusions, and which adhere to prescribed internal auditing standards for working paper content and presentation. Works systematically and logically to analyse complex problems, to gather meaningful information, and to find and evaluate alternative solutions. Appropriately derives and organises the essence of information to perform an in-depth analysis and draw sound conclusions. Exercises judgment and initiative in locating sources of information. Uses time and resources effectively to accomplish assigned tasks within the given deadline. 	Preparation of well-written and excellent quality workpapers, which contain the necessary information to draw a conclusion regarding the area under review.

Key performance areas		% of time spent	Inputs (Responsibilities / activities / processes/ methods used)	Outputs (Expected results)
			<ul style="list-style-type: none"> • Able to anticipate potential obstacles and their impact on the accomplishment of tasks within set deadlines. 	
3	Conduct financial, compliance and operational audits: Draft reports	25%	<ul style="list-style-type: none"> • Drafts written reports that: <ul style="list-style-type: none"> – Clearly and concisely express ideas, thoughts, and concepts. – Explain the background, scope and findings. – Have the correct and appropriate structure and format. – Contain correct and appropriate grammar, punctuation, spelling, language, terminology and tone. – Are adapted to suit the intended audience. 	<p>Production of high quality, professional reports which clearly document our findings and contain the most appropriate recommendations for management.</p> <p>Provision of assurance as to whether internal control systems are designed and/or operating effectively.</p> <p>Provide useful information to management to make informed decisions and to improve operations.</p>
4	Supervise fellow staff members	10%	<ul style="list-style-type: none"> • Acts as a resource to staff auditors in specialised areas of expertise. • Sets high standards of performance for others. • Supervises selected audit assignments which involves: <ul style="list-style-type: none"> – Assigning tasks and supervising staff. – Detailed review of work performed. – Resolution of any review queries identified. 	Well-planned and executed assignments.
5	Conduct fraud and whistleblowing investigations	5%	<ul style="list-style-type: none"> • Conducts or assists in fraud/whistleblowing investigations requiring strict confidentiality. • Able to deal with sensitive personnel situations. 	Confidential and professional investigations of fraud and whistleblowing allegations.

MINIMUM REQUIREMENTS

Minimum qualifications	A degree (NQF7) in an accounting or finance-related field (e.g. B.Com)			
Minimum experience (type and years)	A minimum of 3 years relevant work experience			
Skills	Excellent communication skills, both written and verbal Excellent analytical skills Highly logical Excellent interpersonal skills Highly organised Able to adapt to new situations Advanced Word and Excel skills			
Knowledge	Accounting principles <i>Auditing principles would be advantageous</i>			
Professional registration or license requirements	None			
Other requirements (If the position requires the handling of cash or finances, other requirements must include 'Honesty to handle cash or finances'.)	Highly ethical			
Competencies (Refer to UCT Competency Framework)	Competence	Level	Competence	Level
	Adaptability/Flexibility	2	Conceptual Thinking	2
	Analytical Thinking/Problem Solving	2	Planning and Organising	2
	Building Interpersonal Relationships	2	Quality Commitment/Work Standards	2
	Communication	2	Written Communication	2

SCOPE OF RESPONSIBILITY

Functions responsible for	Completion of audit work assigned by Manager: Internal Audit
Amount and kind of supervision received	Day-to-day supervision by the Manager: Internal Audit
Amount and kind of supervision exercised	Supervises selected simple audit assignments
Decisions which can be made	How best to: <ul style="list-style-type: none"> • Obtain information • Manage him/herself • Execute assigned audits
Decisions which must be referred	Audit scope Deviation from approved audit scope or audit plan

CONTACTS AND RELATIONSHIPS

Internal to UCT	Manager: Internal Audit, operational staff across the University
External to UCT	None

