

## New

Ministry

Seniors, Community and Social Services

### Describe: Basic Job Details

#### Position

Position ID

Position Name (200 character maximum)

Director, Internal Audit

Requested Class

Job Focus

Corporate Services

Supervisory Level

01 - Yes Supervisory

Agency (ministry) code

Cost Centre

Program Code: (enter if required)

#### Employee

Employee Name (or Vacant)

#### Organizational Structure

Division, Branch/Unit

CFA, Corp Accountability & Planning, Internal Audit

☐ Current organizational chart attached?

Supervisor's Position ID

Supervisor's Position Name (30 characters)

ED Corp Accountability & Plann

Supervisor's Current Class

Executive Manager 1

### Design: Identify Job Duties and Value

#### Job Purpose and Organizational Context

Why the job exists:

Reporting to the Executive Director, Corporate Accountability and Planning, the Director of Internal Audit oversees a team of professionals and is accountable for the delivery of Internal Audit services for the Ministry. Internal Audit provides the necessary assurances to the Ministry Executive Team and Senior Financial Officer that appropriate internal controls, risk management assessments and monitoring processes, effective financial systems and procedures and performance monitoring are in place and functioning properly, and that the Ministry's information is accurate and reliable. Audits also involve examination of internal controls and financial records at external entities such as contracted service providers. The Internal Audit function also enables the Office of the Auditor General and Corporate Internal Audit Services to place reliance on audit work and eliminates duplication.

The Director manages and completes projects as detailed in the yearly Internal Audit plan and works collaboratively with others. The Director establishes and maintains positive relationships with program senior management i.e. Assistant Deputy Ministers, Executive Directors and Directors of assigned projects.

## Responsibilities

Job outcomes (4-6 core results), and for each outcome, 4-6 corresponding activities:

1. The Director, Internal Audit provides strategic direction for the Internal Audit function to ensure Ministry risks are effectively managed and there is accountability for public funds.
  - Engages Executive Team, Assistant Deputy Ministers and senior leadership for input on risks faced by their respective areas.
  - Ensures the annual risk-based Audit Plan is developed and considers all Ministry programs and is presented to Executive Team for approval.
2. Directs Internal Audit services for the Ministry.
  - Oversees audit priorities and the development of audit work plans and ensures that audit procedures serve to fulfill the objectives of each audit.
  - Applies professional judgment to ensure high risk audits confirm adequacy of internal control frameworks, safeguarding of assets, accuracy and propriety of transactions, compliance with legislation, regulations and GOA and Ministry policies.
  - Directs the development of appropriate procedures on all facets of Internal Audit activities, such as file documentation, audit substantiation, reporting, and appropriate audit follow-up of recommendations issued.
  - Ensures recommendations and strategic advice provided for major control weaknesses or systemic deficiencies are implemented promptly, enhance efficiencies and effectiveness, and provide overall assurance of stewardship on Ministry financial resources.
  - Applies professional judgment based on professional standards, knowledge of best practices, experience and academic education to provide practical, efficient and effective solutions to high risk areas of the Ministry.
  - Ensures that Internal Audit reporting to management clearly communicates audit criteria, findings, recommendations for improvement, management comments, action plans and follow-up.
  - Provides guidance to audit team to ensure focus, scope and approach of audit projects are appropriate, reports are balanced, practical and useful.
  - Issues quarterly and annual reports to the Executive Team highlighting audit results and significant recommendations made.
  - Oversees the continuous improvement of audit plans and procedures to ensure that they are consistent with department policies, procedures and objectives.
  - Ensures that the staff are supported, properly assigned, have the appropriate tools, knowledge and training to ensure the successful completion of the objectives outlined in the audit plan.
  - Oversees the development of the budget and forecasts for Internal Audit.
  - Ensures office administration functions including purchasing, accommodation, records management, and occupational health and safety are managed appropriately.
  - Participates in business and operational planning processes.
  - Prepare briefing notes and action requests, as required.
3. Develops constructive and positive working relationships with program management, external auditors and initiate regular communication with them.
  - Maintains a good level of knowledge regarding functional areas within the department.
  - Takes their sensitivities into consideration in dealings with them.
  - Ensures co-ordination with management on scheduling and other matters to minimize unnecessary conflicts.
  - Acts as the key liaison, as necessary to coordinate audit projects and facilitate sharing of information between Internal Audit and Corporate Finance staff, Delivery Services and the other Ministry Departmental and External Stakeholders.
  - Oversees the coordination of Internal Audit resources with the External Auditors for the Federal/ Provincial Labor Agreements audits in which the Internal Audit unit is performing audit work on behalf external firm.
  - Serves on committees and project working groups, as required.

- Prepares quarterly status updates on implementation of outstanding recommendations from the Office of the Auditor General and Corporate Internal Audit Services.
4. Develops and maintains a positive and productive work environment for Internal Audit staff.
    - Ensures Internal Audit staff are treated and act in a manner that is consistent with the Alberta Public Service Vision and Values.
    - Ensures that staff understands how their work contributes to overall Ministry objectives and adds value.
    - Provides oversight on staff performance planning processes, recruitment and other Human Resource processes.
    - Ensure new and existing staff are appropriately trained and supported in their development.
    - Ensures that staff are supported, properly assigned, have the appropriate tools, knowledge and training to ensure the successful completion of the objectives outlined in the audit work plan.
    - Coaches and mentor's staff.
    - Ensure that staff have the tools they need to effectively and efficiently perform their jobs.
    - Continually evaluating the effectiveness of the team, making organizational and job assignment changes as appropriate.
    - Facilitate peer support and communication within the team.
  5. Create an environment that promotes continuous improvement.
    - Ensures post-completion team meetings on all audit projects, bringing forward suggestions for improvement.
    - Researches and shares best assurance and advisory practices.
    - Provides constructive timely feedback to audit team.
    - Works towards achievement of ongoing quality improvements in audit work delivered and communicated to the Ministry.

## Problem Solving

Typical problems solved:

The Director, Internal Audit develops, evaluates, and continually enhances Internal Audit strategies pertaining to oversight and fiscal accountability processes within the Ministry. Creativity and new approaches to resolve issues are required given the unique challenges faced by programs and regions. Issues can be sensitive and the Director, Internal Audit must be able to reconcile conflicting perspectives, requirements, and priorities of Ministry, Government, and program representatives.

The Director, Internal Audit must compile and analyze relevant program and financial information within the context of business plans, regulations, and policies, to support the development of appropriate, risk-based auditing plans. In addition, the Director, Internal Audit provides recommendations that may not be readily embraced by all parties. The ability to collaborate with a broad range of stakeholders and influence decisions, approaches, and directions at senior levels is essential.

Working within a complex and changing organization structures requires coordination of Internal Audit activities across corporate and regional structures while ensuring requirements of the Ministry and Government are met.

Developing and maintaining relationships within the corporate and regional program staff and with Ministry, Government, and stakeholder representatives to support effective resolution of diverse issues.

Fostering the application of new program and financial monitoring approaches, while continuing to support achievement of business plan goals and provision of quality services.

Actively contributing to and assessing program performance measures with a focus on ensuring systems are in place and capture information required to evaluate and report on results in an accurate, efficient and effective manner.

Types of guidance available for problem solving:

- The Director, Internal Audit must work with considerable independence and autonomy in planning and delivering audit services to the Ministry. Guidance and support is also available through the direction of the Executive Director.
- Strong skills in developing creative solutions are required when searching out opportunities for efficiencies without compromising the internal control environment and negotiating and recommending solutions for the satisfactory resolution of sensitive audit issues/findings.
- Strong skills in developing and maintaining highly effective working relationships with management and staff throughout the ministry, as well as the external entities. This is critical in ensuring the credibility and success of internal audit services.
- Excellent change management skills, this is a dynamic environment within which frequent changes in programs, organization and departmental priorities contributes to the complexity.
- Highly developed human resources skills, in order to effectively manage a diverse and professional staff group.
- Innovation is required in order to effectively deal with operational needs, particularly during times of change and fiscal restraint.
- Effective verbal and written communication is very important in successfully fulfilling the objectives of this position.

Direct or indirect impacts of decisions:

Decisions will impact the ability to meet key deadlines associated with the legislative requirements of the Financial Administration Act, the Sustainable Fiscal Planning and Reporting Act, and Treasury Board direction, particularly in meeting very tight budget deadlines.

This position is highly challenging due to the necessity of being well versed in the wide variety of departmental programs policies and financial policies, the organizational structure of the ministry, the interaction with external stakeholders, the technical knowledge required to undertake audits, combined with the complexity of managing staff.

The Director, Internal Audit functions within the context of both the accounting profession and of policies, directives, and guidelines developed by Treasury Board and Finance. Key pieces of legislation and policy that set parameters for the work of the Director, Internal Audit include the Government Accountability Act; the Financial Administration Act; policies and guidelines established by Cabinet and Treasury Board and Finance with the input of the Auditor General, the Minister, and the Deputy Minister, and program legislation, regulation, policies, procedures and frameworks.

### Key Relationships

Major stakeholders and purpose of interactions:

This position has regular and ongoing contact with:

- The Assistant Deputy Ministers Office to exchange and provide information, resolve issues, and provide support.
- Executive Directors/Directors/Managers across the division to provide information, resolve issues and provide support.
- Treasury Board and Finance and the Office of the Auditor General to provide information, resolve issues and provide support.
- SCSS divisional staff to exchange information, respond to inquiries, and resolve issues.

### Required Education, Experience and Technical Competencies

Education Level	Focus/Major	2nd Major/Minor if applicable	Designation
Bachelor's Degree (4 year)	Other	Other	CPA/CA/CMA/CGA

If other, specify:

Job-specific experience, technical competencies, certification and/or training:

- Professional accounting designation CPA (CA, CMA or CGA) supplemented with a University Business or Graduate Degree.
- Excellent leadership, mentoring, and relationship building skills.

- Very good analytical, writing, problem solving, decision making and strategic thinking skills.
- Excellent organizational, time management and project management skills.
- Excellent performance management skills that achieve quality and timely results from staff.

## Behavioral Competencies

Pick 4-5 representative behavioral competencies and their level.

Competency	Level					Level Definition	Examples of how this level best represents the job
	A	B	C	D	E		
Build Collaborative Environments	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	Involves a wide group of stakeholders when working on outcomes: <ul style="list-style-type: none"> <li>• Involves stakeholders and shares resources</li> <li>• Positively resolves conflict through coaching and facilitated discussion</li> <li>• Uses enthusiasm to motivate and guide others</li> <li>• Acknowledges and works with diverse perspectives for achieving outcomes</li> </ul>	The Director is responsible for bringing program areas and Corporate Finance and Accountability stakeholders together, facilitating meaningful dialog and motivating others to achieve desired results.
Develop Self and Others	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	Encourages development and integration of emerging methods: <ul style="list-style-type: none"> <li>• Shapes group learning for team development</li> <li>• Employs emerging methods towards goals</li> <li>• Creates a shared learning environment</li> <li>• Works with individuals to develop personal development plans</li> </ul>	The leader will exhibit a leadership style that encourages and enables the participation of their staff through open communication and sharing of knowledge. Every situation should be viewed as an opportunity for mentor-ship and developing the team strength.
Creative Problem Solving	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	Works in open teams to share ideas and process issues: <ul style="list-style-type: none"> <li>• Uses wide range of techniques to break down problems</li> <li>• Allows others to think creatively and voice ideas</li> <li>• Brings the right people together to solve issues</li> <li>• Identifies new solutions for the organization</li> </ul>	The Director must appreciate perspectives, approaches, emerging audit trends and assurance and advisory practices when developing the annual risk based audit plan. Bringing diverse viewpoints together to solve complex system problems and find creative solutions.
Drive for Results	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>	Works to remove barriers to outcomes, sticking to principles: <ul style="list-style-type: none"> <li>• Forecasts and proactively addresses project challenges</li> <li>• Removes barriers to</li> </ul>	The Director will be required to provide, manage and take accountability for developing the Ministries internal annual risk-based audit plan. Provocatively

		collaboration and achievement of outcomes <ul style="list-style-type: none"><li>• Upholds principles and confronts problems directly</li><li>• Considers complex factors and aligns solutions with broader organization mission</li></ul>	identifying emerging areas of risk and determining the most effective and beneficial ways to mitigate these risks.
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**Benchmarks**

List 1-2 potential comparable Government of Alberta: [Benchmark](#)

M420-52 - Director, Budgets & Forecasts  
M420-51 - Director, Financial Services & Accountability

**Assign**

The signatures below indicate that all parties have read and agree that the job description accurately reflects the work assigned and required in the organization.

_____ Employee Name	_____ Date yyyy-mm-dd	_____ Employee Signature
_____ Supervisor / Manager Name	_____ Date yyyy-mm-dd	_____ Supervisor / Manager Signature
_____ Director / Executive Director Name	_____ Date yyyy-mm-dd	_____ Director / Executive Director Signature