

Senior Internal Auditor

Division/Department	Group Internal Audit
Reports to	Senior Internal Audit Manager
Responsible for	No direct reports

Role Overview

Independently leading and delivering full end to end internal audit and advisory engagements in accordance with internal audit standards/ practices and methodology. The Senior Internal Auditor will be able to use their experience, skills and knowledge to identify key risks, develop and scope robust test plans (including use of data analytics), and prepare audit reports that present information in a clear, concise and compelling way. The Senior Internal Auditor will also take personal responsibility to be proactively involved in leading stakeholder management meetings and will have opportunities to support the internal audit management team with wider activity (e.g. preparation of Audit and Risk Committee or Executive Committee packs and innovating audit practices). This role sits within the IntegraFin Holdings plc Group Internal Audit team who were awarded 'Outstanding Financial Services Team of the Year' in 2024 by the Chartered Institute of Internal Auditors.

Key Areas of Responsibility

- Leading internal audits with resilience and tenacity as assigned in the Group Internal Audit Plan that will encompass reviews of business operational processes, key customer journeys, regulatory compliance, capital adequacy, governance, risk and IT.
- With minimal or little supervision preparing audit scopes and performing audit testing in accordance with professional standards and the Group Internal Audit methodology.
- Demonstrates sound core internal auditing skills including being proactive in the use of data analytics to provide enhanced assurance.
- Takes an organised approach to managing workloads and meeting deadlines.
- Drafting audit reports with minimal re-work required that are concise, compelling and clear, in turn highlighting key issues to the Group's Audit and Risk Committees, the Board, and senior management.
- Able to adequately address and respond to any comments or challenges from management in relation to draft scopes or draft internal audit reports.
- Leading meetings with senior management to validate audit findings, and to develop, in partnership with the business, pragmatic and commercially sound audit recommendations which mitigate the identified risks. This includes being able to reach an agreement with the business over audit findings and having the capability to challenge management assertions.
- When required, reviewing and auditing management's completion of agreed control enhancement actions (which resulted from previous internal audit findings).
- Being readily available to support, mentor or line manage any internal auditors or guest auditors (secondees) in the team or those working on the same internal audit engagements.
- Proactively enhancing the profile of Internal Audit within the Group by building strong working relationships with senior managers of the Group.
- Actively shares information with team members and expresses own thinking in open discussions and conversations.
- Explaining good practice governance, risk management, compliance and internal controls activities during discussions with staff of the Group.
- Takes personal responsibility to identify opportunities for process efficiency gains including value for money considerations.
- Understands and grasps the current and developing regulatory and legislative rules and guidance which affect the Group and can implement these learnings into internal audit engagements or the internal audit plan.

Education and Knowledge Requirements	
Essential	Desirable
<ul style="list-style-type: none"> Financial Services Industry experience is essential (ideally within the Investment Management or Life Insurance sector). Post-qualified experience as an internal auditor. Good understanding of data analysis tools and techniques, including advanced excel skills. 	<ul style="list-style-type: none"> ACA / ACCA / CIMA / CIA qualification, or similar professional qualification. Knowledge of regulation applicable to the Group is desirable (incl. CASS, MiFID II, Consumer Duty, GDPR, SII, etc.) Understanding of COSO risk management and controls framework.
Experience Requirements	
Essential	Desirable
<ul style="list-style-type: none"> Internal Audit, External Audit, or Risk/Regulation experience either in practice, or at a regulated firm. 2 - 5 years of post-qualified experience in an Internal Audit role. Financial Services industry experience. Displays high standards of professionalism, courage, integrity, flexibility and maturity at all times. 	<ul style="list-style-type: none"> Practical experience using data analysis tools and techniques, including advanced excel skills.
Attributes	
<ul style="list-style-type: none"> Strong report writing skills. Good data analysis skills including advanced excel skills. Ability to communicate with all levels of staff and management of the Group. Ability to manage relationships effectively with multiple senior stakeholders (e.g. executive directors, senior managers, non-executive directors). Confident and articulate communicator. Skilled at influencing and negotiating, able to present key points of an argument persuasively. Ability to make recommendations in the face of complexity, conflicting pressures and ambiguous circumstances. Self-motivated as required to manage internal audit assignments on an individual basis, and work on own initiative. Strong project management skills. Determination to ensure high standards of operating practice within the firm. Willingness to continually develop own knowledge of risk management, regulation, legislation and internal control 'best practice' applicable to the Group. Ability to forensically analyse control process designs, and the operating effectiveness of controls. An eye for detail and a commitment to continuous improvement. A focused, reliable, conscientious and methodical individual. 	
Competency Requirements	
<p>Working with others (level C) Works collaboratively with others to achieve common goals</p> <p>Impact and influence (level B)</p>	

Builds rapport, uses persuasion and influence to obtain support and buy-in for activities to the benefit of the business

Leadership (level B)

Demonstrates an ability to drive, motivate and inspire both self and others to achieve goals

Developing self and others (level B)

Develops self and others, showing a genuine interest in helping others reach their potential

Achievement orientation (level C)

Works to achieve results and improve individual and company performance through what they do

Customer orientation (level B)

Develops and maintains strong relationships with our customers and understands how this relationship is central to Integrafin's success

Relationship building (level B)

Builds mutually beneficial, collaborative, long term relationships both internally and externally

Planning and organising (level B)

Has ability to plan, organise and prioritise work

Innovation and continuous improvement (level C)

Seeks and uses ideas to continually improve performance of themselves and the business

Analytical thinking and decision making (level B)

Has ability to analyse, investigate and interpret information, issues and situations to make the right decisions in a timely manner

Financial and business awareness (level B)

Understands what Transact does and the business environment in which it operates

Accountability

- Deliver Internal Audit services to the Group in accordance with the requirements of the UK and Isle of Man regulators relevant to the Group (i.e. FCA; PRA; & FSA (Isle of Man) requirements)
- Deliver Internal Audit services to the Group in accordance with the Global Internal Audit Standards, and the IIA Code for Internal Audit in the Financial Services Sector.
- Deliver Internal Audit services to the Group in accordance with the requirements of the approved Group Internal Audit Charter.

As a financial services company we are bound by various rules and regulations. In this role you are particularly accountable for these areas:

Compliance and Risk

- Adhere to all processes and deadlines as required by regulations.
- Understand the risks, control and governance requirements for the Group and flag and escalate risks and error within your remit.
- Comply with all internal policies and procedures.

- Comply with the Conduct Rules.

Training and Competence *

All our staff are expected to acquire and maintain the desired level of competence for their role which requires them to have the skills, knowledge and expertise needed to discharge the responsibilities of their role. This may include Continual Professional Development (CPD).

You are required to:

- Undertake all training required for your role.
- Attend and participate in internal training courses as required by your role.
- Undertake continual professional development relevant to your role.
- Continue to maintain technical knowledge and contribute to the development of the knowledge of other team members.

* For definitions, please see the T&C Guide