

Senior Conduct Manager

Post advertised: 28 March 2019

1. Background to IAASA

The Irish Auditing and Accounting Supervisory Authority is the independent body in Ireland responsible for the:

- examination and enforcement of certain listed entities' periodic financial reporting;
- oversight of the Recognised Accountancy Bodies' functions in respect of statutory auditors and supervision of the regulatory functions of the Prescribed Accountancy Bodies;
- adoption of standards on auditing, professional ethics and internal quality control; and
- the inspection and promotion of improvements in the quality of auditing of Public Interest Entities.

IAASA is a state body established in 2006 and carries out its functions under the provisions of the Companies Act 2014. As such, its employees are public servants.

2. Post overview

Under EU law, IAASA has been given a number of roles in relation to the quality of audits. Amongst these is the responsibility for the conduct of investigations arising from quality assurance reviews of statutory auditors and audit firms carrying out statutory audits of Public Interest Entities, as well as referrals by other competent authorities. In addition, IAASA also has latitude to carry out other investigations, for example into possible breaches of the standards of prescribed accountancy bodies by a member.

In order to carry out this task, the Authority is seeking to appoint an individual of appropriate calibre and expertise to the position of Senior Conduct Manager. The successful applicant will have responsibility for all aspects of the Authority's Conduct function

The Conduct function is a critical part of IAASA's regulatory infrastructure, and as such the successful candidate can expect to make a significant contribution to Ireland's accounting supervision and audit oversight regime.

3. Candidate profile

The successful candidate will be a solicitor, barrister or member of an Irish Recognised Accountancy Body. S/he will have significant experience in judicial and/or quasi-judicial investigation processes. In particular, s/he will have direct experience of the conduct of investigations or inquiries, including ensuring that the processes and procedures underpinning those investigations are fit for purpose. Experience in a regulator or similar role such as professional discipline or working closely with such an entity would be a distinct advantage. In addition, experience in presenting cases in either a civil or criminal law context would be advantageous.

The successful candidate will ideally have:

- excellent communications skills both oral and written;
- the ability to manage cases proactively and ensure progress;
- substantial and demonstrable effective case and trial management skills;
- excellent negotiation skills;
- excellent judgement and objective decision-making and problem-solving skills;
- a proven ability to work under pressure and to deadlines;
- excellent interpersonal skills and be a team-player;
- experience in managing staff; and
- an appreciation of IAASA's objectives, a keen awareness of the environment within which it operates and a strong commitment to serving the public interest.

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4. Indicative description of principal duties and responsibilities

Manage and operate the Conduct function including the development of processes and procedures. The Senior Manager will have specific responsibility for;

- developing a policy for, and managing the processing of, complaints to the Authority in relation to accounting and auditing matters.
- developing a strategy for investigations and ensuring progress;
- the conduct of:
 - investigations arising from quality assurance reviews of statutory auditors and audit firms carrying out statutory audits of Public Interest Entities, as well as referrals by other competent authorities;
 - Section 933 enquiries into the disciplinary processes or non-performance of relevant functions of prescribed accountancy bodies;
 - Section 934 investigations into possible breaches of standards of prescribed accountancy bodies by members and other relevant contraventions of the EU Audit Directive;
 - investigations into other matters which the Authority determines should be investigated.
- developing processes for the application of sanctions and measures to cases investigated by recognised accountancy bodies and required to be sanctioned by the Authority;
- implementing and operating the Authority's settlement procedure as provided for in the Companies Act;
- working closely with external advisers, experts and others; and
- developing (in conjunction with external legal advisors) processes and procedures for the conduct of the relevant committees, including operating procedures, conflict of interest procedures and other procedures necessary to ensure an effective and efficient conduct function.

The Senior Conduct Manager will also be responsible for the assessment of the resources necessary to carry out this function and the most appropriate and cost efficient method by which those resources should be retained to ensure that it can fulfil its remit.

The foregoing is indicative only and duties may be altered from time to time, as considered necessary or otherwise appropriate, at the discretion of the Chief Executive. The Senior Manager will also have general responsibility for the output of the Unit, including managing case progression, resource provision and allocation, as well as providing advice to the Executive Team on best practice.

5. Salary

This is a permanent position and the salary on commencement for new entrants to the public service is €85,823, rising annually following each year's satisfactory performance on the following scale:

€85,823; €89,356; €92,862; €96,395; €99,375(Max); €102,465¹; €105,552².

Increments (other than long service increments), subject to satisfactory performance, may be awarded annually. Alternative arrangements may apply to serving public servants. The rate of total remuneration may be adjusted from time to time in accordance with government pay policy as applying to public servants generally.

¹ Long service increment 1: payable after three years' satisfactory service on the maximum

² Long service increment 2: payable after six years' satisfactory service on the maximum

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6. Other terms of employment

- 6.1. *Superannuation*: The successful candidate will be a member of the Single Public Service Pension Scheme unless s/he was a public servant in the 26 weeks prior to being offered the contract. Scheme membership, contributions and benefits are in accordance with terms set down by the Minister for Public Expenditure & Reform, and are dependent on personal circumstances on recruitment.
- 6.2. *Location*: The role is based in Naas, but will entail engagement on a periodic basis with stakeholders based in Dublin and overseas. Travel and subsistence allowances are paid in accordance with rates applicable to civil servants.
- 6.3. *Annual Leave*: The annual leave allowance is as applicable to a civil service Principal Officer, currently 30 days. This is in addition to statutory public holidays and Good Friday.
- 6.4. *Professional subscriptions and Continuing Professional Development ('CPD')*: IAASA reimburses the annual membership subscription to the incumbent's legal professional body, and all mandatory CPD. IAASA also supports participation in relevant training and professional development courses related to an employee's business activities including, but not limited to mandatory CPD activities.

7. Application procedure

Persons interested in this role should send a curriculum vitae together with a brief covering letter setting out how they meet the above requirements, to:

Fergal Ó Briain
Head of Finance & Administration
Willow House
Millennium Park
Naas, Co Kildare
W91 C6KT

OR

By e-mail to recruitment@iaasa.ie

The deadline for the receipt of applications is **12:00 noon on Monday, 15 April 2019**. Late applications will not be considered.

8. Selection process

The selection process includes the following elements:

- Dependent upon the number of applications received, the Authority may shortlist respondents. In the event that this is the case, short-listing will be based solely on the material submitted.
- Thereafter, applicants, or in the event of short-listing those respondents that have been shortlisted, shall be invited for interview in the week-beginning 6 May 2019.
- Successful candidates at this point may be invited for second interview if considered appropriate by the interview panel. Candidates invited for second interview may be requested to consider a case-study or make a presentation.

9. Further information

Persons interested in having a confidential discussion regarding this role should contact IAASA on (045) 983 600.

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Further information on IAASA and its activities can be obtained at www.iaasa.ie.

IAASA is committed to a policy of equal opportunities and welcomes applications from people with disabilities.