

### **JOB DESCRIPTION**

**Job Title:** SENIOR  
**Band:** A4C Band 6  
**Directorate:** Internal Audit / Finance  
**Reports to:** Audit Manager/ Assistant Manager  
**Accountable to:** Head of Internal Audit  
**Professionally Accountable to:** Head of Internal Audit  
**Responsible for:** Supervising and coaching staff in the team  
**Main Base:** York or Wakefield, with travel as required to all client sites, currently across North, West and East Yorkshire

**Contract Status:** Permanent

### **JOB SUMMARY/ PURPOSE:**

Audit Yorkshire (AY) is a shared services consortium of some 50 staff providing internal audit, anti-crime and advisory services to (currently) 28 mainly NHS organisations in North and West Yorkshire. The consortium is hosted by York Teaching Hospital NHS Foundation Trust (YTHFT).

Internal Audit provides independent assurance in respect of the effectiveness of governance, risk management and control. The Anti-crime team provides Local Counter Fraud and Local Security Management services on both a proactive and reactive, (including conducting investigations) basis.

The Senior takes responsibility, with support from managers, for planning, managing and undertaking audits, reviews, investigations and projects as delegated by the Manager, across a range of the consortium's Members/clients.

This includes:-

- personally performing a broad range of assignments of a complex/ad hoc and non-financial nature in addition to a broad range of routine audit assignments, delivering to time and quality requirements.
- day to day management of the staff involved and review of the files produced and also the associated budget.

Assignments will involve liaising with client staff at all levels, e.g. Director of Finance, Medical Director, Head of Department.

The Senior will maintain and develop professional, positive and constructive relationships with the Member/ client organisations' Directors, Senior Managers and other staff in order to enhance the team's image and the quality of the service provided.

## **ORGANISATIONAL CHART:**

Please see appendix for current structure

## **KEY RELATIONSHIPS:**

Internal: All staff within the Consortium,

External: All levels of Member/ client management, External audit, other internal audit providers and other review bodies.

## **KEY DUTIES:**

**Please also see separate Appendix for specific functional requirements relating to certain posts ( LCFS, Data Analytics Lead)**

- To undertake high quality risk based assignments in a manner which reflects professional standards e.g., PSIAS, NHS Counter Fraud Authority, AY's internal procedures and protocols and the Member/ Client's procedures and protocols.
- To maintain and develop professional, positive and constructive working relationships with staff at all levels in client organisations and own colleagues. To ensure that professionalism, integrity, competency and objectivity can be demonstrated in all work undertaken.
- To prioritise and manage own workload to deliver to time and quality requirements, to monitor and communicate progress against plans and to demonstrate flexibility in project completion. The post holder will be required to meet agreed budgets and other performance indicators agreed with clients. .
- To supervise the completion of work by other members of the team and has responsibility for reviewing work of other staff to ensure quality standards are achieved. Supervise, train and develop junior staff on the team
- Research any new areas and develop new skills accordingly. To continually keep abreast of new and changes to existing techniques, NHS systems and

the workings of the NHS (Financial, non-financial and clinical areas) and other client groups. To contribute to suggesting ways in which the service can be improved and developed.

- To actively research and seek out opportunities to advance own training and development in line with career aspirations and the Consortium's expectations (including success in achieving progress in professional qualifications where applicable)

## **KEY RESPONSIBILITIES:**

- Independently undertake assignments in accordance with the PSIAS, NHS Counter Fraud Authority and other relevant Standards, Audit Yorkshire's own procedures and guidance, and appropriate good practice or professional guidance
- Conduct assignments of a highly complex nature, often requiring a wider business perspective and covering non-financial issues.
- To take responsibility, with support from managers/ assistant managers for the planning, management and implementation of assignments as delegated by the Manager, including taking responsibility for managing delivery of a discrete section of a plan as appropriate. This includes day to day management of the staff involved and review of the files produced and also the associated budget. Assignments will involve liaising with client staff at all levels, e.g. Director of Finance, Medical Director, Head of Department.
- Competently apply risk management and assurance principles to the planning and delivery of assignments
- Continually keeping abreast of new and changes to existing audit techniques, NHS systems and the workings of the NHS (Financial, non-financial and clinical areas) and other client groups and to contribute to suggesting ways in which the service can be improved and developed.
- Write concise and constructive reports to the standard required by the Head of Audit and Member/client showing findings and recommendations and arrange meetings to discuss and present findings with client senior managers e.g. Directors of Finance/Heads of Department, or to a group of staff, taking the lead to ensure delivery of a completed assignment as planned.
- Compile and maintain audit working files which meet PSIAS,NHS Counter Fraud Authority and other relevant standards and which are acceptable to External Audit (computerised and/or manual).

- Make recommendations as appropriate often involving significant proposed changes to working practices and procedures. These routinely will involve contributing to service redesign and providing benchmarking information.
- Supervise other members of the team to ensure work and reports are completed on time and to budget.
- Review files and reports produced by other members of the team to ensure they are completed to the required quality standards.
- Manage own work to ensure that KPIs involving budgets, timescales and quality are achieved.
- To undertake value for money audits and special projects/investigations as required. To liaise across the team as required.
- Provide training, guidance and support to other members of the team as required and to support managers in the induction of new staff.
- Participate in the development of AY by promoting / enhancing its image, providing advice, investigating enquiries, co-operating with staff and managers in other disciplines, and taking other appropriate action.
- Assist in the operational and quality management of AY service so that its activities fit with the purposes and responsibilities laid down by the Member / client.
- Provide advice to the Member / client managers and technical assistance / advice to other audit staff with support from Managers where required.
- Support Managers in responding to complex queries from clients.
- Prepare and present reports to Audit Committees as required, presenting a professional image at all times and demonstrating a deep knowledge of the clients' business and of NHS issues.
- To achieve professional qualifications to the level required as set out in the department's Learning Framework and this JD.

## **KEY VALUES:**

### Audit Yorkshire values:

We Value:

*Customer Satisfaction*

By:

Respecting and listening to members and clients to retain their loyalty and trust and seeking to exceed their expectations.

<i>Excellence</i>		Committing to being the best we can be, by always seeking to improve
<i>Independence Integrity</i>	<i>with</i>	Maintaining credibility by ensuring our actions always match our words and offering supportive challenge.

YTHFT would expect all employees to demonstrate our values as part of their day to day working lives:

**Values, drivers and motivators:**

- Caring about what we do.
- Respecting and valuing each other
- Listening in order to improve (always seeking to improve)
- Always doing what we can to be helpful

**Providing support by:**

- Working in partnership and responding to local needs
- Respecting Differences: Building on similarities.
- Empowering people to be involved in decisions about how we provide care
- Encouraging others to behave respectfully in line with our values
- Suggesting 'Values Behaviors' to influence and perform efficiently in line with our brand.

## STANDARD GENERIC ITEMS

The post holder will uphold and support these values in accordance with the Personal Responsibility Framework. To this end, in our goal to promote and embed equality and diversity throughout the organisation, the post holder will ensure that everyone is treated as an individual, with dignity and respect. Further, the post holder will embrace the Trust's philosophy that as individuals we are all unique, and will acknowledge and value difference in order to treat everyone fairly.

The post holder will maintain the security of sensitive personal and other confidential information and will apply all relevant Information Governance policies reliably to working practice. Additionally they will be expected to follow secure operating procedures for handling information in all formats, including verbal, written and that held electronically.

The post holder will support the Trust's internal audit service during regular reviews of financial and other systems across the organisation. The post holder will assist audit in these reviews and will provide information as required and without undue delay.

The post holder is responsible and accountable for their own practice in line with Trust Infection Prevention and Control policies that reflect evidence, best practice and legislative requirements.

The post holder will have the appropriate level of child protection and adult safe guarding knowledge, skills and practice required for the post and be aware of and comply with the Trust's child protection and adult safe guarding policies and procedures.

In addition to observing the departmental rules and procedures, which all staff are required to observe and follow, the post holder is also required to follow the Trust's general policies and procedures that apply to the employment relationship. Whilst the Trust recognises specific responsibilities fall upon management, it is also the duty of the post holder to accept personal responsibility for the practical application of these policies, procedure and standards. The post holder should familiarise themselves with these, and ensure they have an understanding of them, and adhere to them. Particular attention is drawn to:

- Health & Safety: Under the Health and Safety at Work etc Act 1974 it is the responsibility of individual employees at every level to take care of their own health and safety at work, and that of others who may be affected by their acts at work. This includes co-operating with management in complying with health and safety obligations, particularly by reporting promptly any defects, risks or potential hazards. The post-holder is required to undertake annual training in respect of Health and Safety and comply and adhere to all Trust Health and Safety Policies.

- Fire: The post-holder must adhere to the Trust's Fire Policy, including attendance at training.
- Working Time Regulations: The postholder must ensure that they do not work more than an average of 48 hours per week based on a 17-week period regardless of whether this is for the Trust as a secondary contract, as overtime, bank/casual, agency work or with another employer.

The Trust has a No Smoking Policy. All its premises are considered as non-smoking zones, other than designated smoking areas.

The Trust attaches great importance to sustainability and Corporate Social Responsibility. To achieve this it is the personal responsibility of all staff to ensure that the Trust's resources are used efficiently with minimum wastage throughout their daily activities. This will include (but is not exhaustive) - recycling, switching off lights, computers, monitors and equipment when not in use. Helping to reduce paper waste by minimising printing and copying. Minimising water usage and reporting any electrical faults, water leakage or other environmental concerns promptly. Minimising travel or if travel needed utilising low carbon travel options where possible. Where the role includes the ordering and use of supplies or equipment the post holder will consider the environmental impact on purchases.

In order to ensure the Trust's ability to respond to changes in the needs of the service, the Trust may make changes on a temporary or permanent basis, that are deemed reasonable in the circumstances, to the duties and responsibilities outlined in the job description. Any changes will be made with reasonable notice, taking into account the circumstances of the Trust and the post-holder. The job description will be reviewed annually as part of the Trust's Appraisal process.

#### **JOB DESCRIPTION AGREEMENT:**

<b>Job Holder [Print name]</b>	<b>Job Holder Signature</b>
<b>Recruiting Manager [Print name]</b>	<b>Recruiting Manager Signature</b>

**PERSON SPECIFICATION**  
**SENIOR**

<b>Criteria</b>	<b>Essential</b>	<b>Desirable</b>
<b>Education, Qualifications and Training</b>	<p>Degree Certified IIA , PQ CCAB , LCFS/LSMS</p> <p>Willing to undergo training as necessary to undertake role</p>	Preferably 2.1 or above
<b>Experience &amp; Knowledge Required</b>	<p>A minimum of 2 years theoretical and practical knowledge and experience in the area with the aptitude to build on that knowledge.</p> <p>Excellent knowledge of methods, techniques and standards relevant to the role.</p>	Knowledge of NHS, experience of successful delivery of complex / ad-hoc audits and/or investigations. together with the aptitude to build on that knowledge.
<b>Skills &amp; Attributes</b>	<p>Ability to organise and prioritise in order to meet tight deadlines and high standards</p> <p>Excellent written and oral communication, analytical, and negotiation skills</p> <p>Able to take a strategic view of issues</p> <p>Able to persuade and negotiate on recommendations with clients to arrive at an agreed position whilst making a positive impact</p> <p>Presentation skills in particular the ability to write clear and factual reports</p> <p>Be literate and efficient in the use of a variety of computer systems and software</p> <p>Assess and assimilate new information quickly to form an understanding of the area and</p>	Understand the context of AY's work within the framework of the strategic plans and Member / client priorities



	to be able to make unsupervised decisions to support a conclusion	
<b>Aptitude &amp; Personal Qualities</b>	<p>Flexible &amp; adaptable</p> <p>Ability to work as a team</p> <p>Prioritising and organisational skills including time management skills and ability to Multitask</p> <p>Self-motivating and able to motivate others while being able to work as part of a team with no supervision.</p> <p>Ability to handle confidential/ complex/ contentious information with professionalism and integrity</p>	Credibility with senior management
<b>Values, Drivers &amp; Motivators</b>	<p>Ability to demonstrate our organisational values and behaviours:</p> <ul style="list-style-type: none"> <li>- Caring about what we do</li> <li>- Respecting and valuing each other</li> <li>- Listening in order to improve (always seeking to improve)</li> <li>- Always doing what we can to be helpful</li> </ul> <p><i>Customer Satisfaction</i></p> <p><i>Excellence</i></p> <p><i>Independence with Integrity</i></p>	
<b>General</b>	<p>Ability to work in various locations which Audit Yorkshire provides services to</p> <p>Willing to travel as required</p>	Car owner / driver with a current licence

## **APPENDIX- LCFS**

### **SPECIFIC DUTIES AND RESPONSIBILITIES**

- Provide a comprehensive anti-crime service to the Consortium's clients in line with the NHS Anti-Crime Strategy by raising awareness, detecting and investigating crime and assisting in the application of appropriate sanctions and redress.
- Undertake all types of pro active and reactive anti crime work In accordance with the NHS Counter Fraud Authority's standards and Audit Yorkshire's own procedures and guidance.
- Produce and undertake risk based operational work plans of counter fraud and/or security management activity for each client and develop and implement an on-going programme of work to help deter and prevent NHS crime, bribery and corruption across a number of clients.
- Undertake work to create and maintain an anti-crime culture, by establishing the baseline of awareness by proactively developing and delivering appropriate presentations and publicity material, including details of on-going and completed work, to raise anti-crime awareness and reinforce the message that fraud, bribery and corruption and security breaches is unacceptable and will not be tolerated. Undertake formal presentations to all levels of client staff up to Board level aimed at raising awareness of anti-crime concerns, the implications of new legislation and maintaining an anti-crime culture at clients and thereby maintaining a deterrent effect.
- Develop, co-ordinate and undertake proactive work (mandatory, local and ad-hoc) to detect cases of potential fraud, bribery and corruption utilising appropriate intelligence and IT facilities, particularly where system weaknesses have been identified.
- Professional investigation of appropriate cases of suspected fraud, bribery and corruption including production of case files and evidence in appropriate formats.
- Attend criminal and civil courts, disciplinary hearings of NHS or other employers and professional and regulatory bodies, as and when required, in the capacity of witness and/or case officer to give evidence competently, including in cross examination. Provide guidance, advice and instruction to Counsel and other legal professionals before and during criminal and civil proceedings.
- To ensure that all anti-crime work is carried out within a professional and ethical framework developed by NHS Counter Fraud Authority and cooperate with and assist External Audit scrutiny and any NHS Quality Assurance process and implementation of recommendations.
- To develop and project manage bespoke and risk based annual counter fraud and security management work plans detailing work to be delivered in all four generic areas of counter fraud work.

- Identify opportunities to develop counter fraud and security management work plans or areas of work further in order to meet/exceed client expectations. Demonstrate ownership for the effective delivery of the counter fraud and security management work plan and for investigations into crime against the NHS.
- Manage and prioritize own caseload, adhering to non-negotiable deadlines imposed by courts and police
- To develop and monitor anti-crime budgets for several clients. Discuss, agree, undertake and oversee clients' plans, other special assignments or investigation work as necessary, requiring proactive negotiation and agreement to changes.
- Use of FIRST is mandated in the counter fraud standards and the LCFS will ensure it is used in compliance with these standards. The LCFS should also be able to operate the National Fraud Initiative web-based system and also have knowledge of IDEA and its capabilities.
- May be required to supervise and manage staff, may be from other areas of the AY team, when they assist with counter fraud or security management related matters.
- Professionally investigate, within operational guidelines to the highest standards, all allegations of fraud for the client organisations. Ensure that appropriate disciplinary, civil or criminal remedies are applied.
- Provide advice to HR Directors and other senior management on disciplinary, civil and criminal sanctions to be considered.
- Support and provide guidance to other members of the Anti-Crime Team as required. This will include induction training. Where they have a particular skill and level of experience they will share this with other team members to promote further development of the team.
- Compile and maintain working files which effectively provide documentary evidence to support conclusions and reports
- Write concise and constructive reports to the standard required by the Head of Anti Crime Services / HIA showing findings and recommendations and discussion of findings and recommendations with relevant managers.
- Make recommendations as appropriate often involving significant proposed changes to working practices and procedures.
- Manage own work to ensure that budgets and timescales are achieved in order to ensure that the annual plans are achieved.
- Participate in the development of the consortium by promoting / enhancing its image, providing advice, investigating enquiries, co-operating with staff and managers in other disciplines, and taking other appropriate action.
- In consultation with more senior staff, provide advice to the Members/clients managers and technical assistance / advice to other staff.
- Provide guidance and support to more junior staff and participate in the induction of new staff.

- Support the Head of Anti Crime Services / Assistant Managers in responding to queries from Members / clients.
- Continually keep abreast of new and changes to existing techniques, NHS systems and the workings of the NHS and other clients.
- Achieve qualifications and accreditations to the level required as set out in the consortium's Learning Framework and this Job Description.
- Actively research and seek out opportunities to advance own training and development in line with career aspirations and the Consortium's expectations
- Actively seek opportunities to supervise and motivate others – and ensure that this has delivered positive results in terms of budgets and deadlines and work quality of others.

## **APPENDIX- DATA ANALYTICS LEAD**

### **SPECIFIC DUTIES AND RESPONSIBILITIES**

#### **KEY DUTIES:**

- Develop and deliver, with the help of others, the Audit Yorkshire Data Analytics / Computer Aided Audit Techniques (CAATs) Strategy, specifically in relation to delivering CAATs work and Data Quality.
  - Promote the use of data analytics / CAATs internally to staff as a key part of the audit methodology and promote this work externally to clients as an added value element of audit / anti-crime work or as ad hoc consultancy work.
  - To lead the delivery of data analytics / CAATs work for Audit Yorkshire, including the development of operational guidance which ensures data analytics / CAATs are considered for all audit work.
  - Keep up-to-date with industry standards, developments and best practice and update clients and staff where appropriate.
  - To supervise the completion of data analytics and CAATs audit work by other members of the team and has responsibility for reviewing other auditors work to ensure quality standards are achieved. Supervise, train and develop junior staff on the team
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- Independently undertake data analytics work in accordance with PSIAS standards and NHS Anti-Fraud Manual, where applicable, Audit Yorkshire's own procedures and guidance, and appropriate good practice or professional guidance
  - Conduct data analytics and consultancy assignments of a highly complex nature, often requiring a wider business perspective and covering non-financial issues.
  - Competently apply risk management and assurance principles to the planning and delivery of data analytics assignments
  - Supervise other members of the audit / anti-crime team to ensure the data analytics element of audit work and reports are completed on time and to budget.