

JOB DESCRIPTION

Job Title:	ASSISTANT MANAGER
Band:	7
Directorate:	Internal Audit - Finance
Reports to:	Deputy Heads of Audit, Internal Audit Manager
Accountable to:	Managing Director and Head of Audit
Professionally Accountable to:	Managing Director and Head of Audit
Responsible for:	Senior / Auditors and Anti-Crime staff
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).

As part of the wider senior management team the Assistant Manager assists in managing the overall performance of the consortium. This includes taking the lead and being responsible for an agreed portfolio of work, which may be for a specified functional area e.g. LCFS/LSMS, IM&T, Governance etc and/or supporting a Manager in delivering a client's plan, taking the lead for delivery of a specified element of a plan as appropriate, and includes:

- Producing and overseeing delivery of risk based plans of work for allocated clients which are designed to meet required standards and guidance
- Ensuring that resources are allocated efficiently and effectively, directing and supervising staff to deliver the allocated plans on time, to budget and to quality standards, including personally conducting complex assignments.
- Building and strengthening working relationships by establishing personal credibility with members and clients and external partners and within the wider AY team.
- Preparing and presenting Audit Committee papers and other similar reports as required

- Supports Managers with management and development of staff in the team

The Assistant Manager is also required to:-

- Actively identify and develop skills and knowledge to help promote their own area of specialism /specialism
- Take action to actively promote this specialist knowledge and to generate potential benchmarking work.
- Actively research and seek out opportunities to advance own training and development in line with career aspirations

ORGANISATIONAL CHART:

Please see Appendix for the latest version

KEY RELATIONSHIPS:

Internal: All staff within the Consortium,

External: All levels of Member/ client management, the governing body, Board of Directors, client staff and Contractors. External audit, Audit Yorkshire Board, other internal audit providers and other review bodies.

KEY DUTIES

Please also see separate Appendix for specific functional requirements relating to certain posts (e.g. Assistant Anti-Crime Manager)

The Assistant Manager designs and conducts complex and specialised audits, investigations and projects at individual clients and/or across a range of clients for reporting to senior management and/or the Audit Committee

The Assistant Manager is the specialist lead for a designated area of work managing the planning, conduct, output and where appropriate opinions, within agreed deadlines, budgets and quality standards to ensure that services are delivered to the highest possible standards and in accordance with client business needs and objectives, meeting and exceeding client requirements through a proactive culture.

This involves monitoring progress of projects and audits on a regular basis, with particular reference to the key milestones and targets. In identified circumstances of slippage, identify and examine possible options for corrective action and either personally execute such action, or agree with the appropriate Manager on the course of action to be adopted.

Develop and maintain effective working relationships with individuals within the team, Member and client organisations, and establish personal credibility with members and clients and external partners.

The Assistant Manager plays a key role in supporting the Audit Manager/s with management and development of staff in the team encompassing work scheduling and assignment planning, coaching, and individual and team training, and assignment review. This will include coordination of resources across competing priorities in order to achieve agreed objectives and delivery of allocated audit plans on time, to budget and to quality standards.

The Assistant Manager assists and supports Audit Managers by preparing and presenting Audit Committee papers and/or taking responsibility for their own portfolio of clients, including Deputising at the Audit Committee meetings for the Audit Manager where required.

In areas of functional oversight and project areas maintain, interpret and share analysis of national and/or regional agreements and/or guidance. Identify the appropriate action to be undertaken and either personally execute such action, or make recommendations to the HIA on the course of action to be adopted, including any training requirement, and where appropriate an assessment of any scope which may exist for local development of a Project.

Contribute to the development and implementation of practices, procedures and new products to constantly develop and improve working practices across the team.

KEY RESPONSIBILITIES:

Take the lead responsibility for a specialist/ functional area of work ensuring that own work and that of other staff is scoped, planned and delivered within the agreed timescales, budget and to required quality and standards.

.Responsible for delivering allocated workload in accordance with the resource plan and contributes to overall delivery of plans.

Personally conducts a range of highly complex audits, projects, investigations or reviews for reporting to senior management and the Audit Committee. These will routinely be complicated and multi-layered where sensitive judgements need to be framed in situations where solutions are not clear.

Leads on service development of specialist area/s, reviewing, proposing, developing and implementing policy for that area, and propose changes in conjunction with working groups where service development/project has wider implications on Trust wide performance and policy. This may involve conducting complex research to develop and pilot approaches to emerging areas, and leading on internal developmental projects.

Responsible for supporting Audit Managers in the delivery of services to specified clients and for managing the delivery of services to a portfolio of own clients.

Maintain effective working relationships with colleagues, key client Directors and the Audit Committee, therefore understanding the main issues, people and culture of the client organisation, to advise on the performance and development of existing and future services and to identify underlying client needs

Will need to respond to, and often anticipate, queries from clients, which may be of a highly sensitive and highly confidential nature, and investigates and reports as necessary to the satisfaction of the client. These queries may relate to complex issues requiring a detailed understanding of complex client risks, NHS systems and existing guidance. This will include advice, information and guidance for direct use by patients, relatives or carers.

Reviews and approves audit briefs, control matrices and reports as appropriate together with other information prepared by others and, by evaluation, identifying flaws or areas that require further action to address weaknesses. Responsible for guiding, co-ordinating and supporting work of self and others assigning tasks as necessary, to ensure that key milestones and timetables are identified and met.

To support senior management with staff development and training ensuring that all staff receive appropriate training and that learning and development are given a high priority.

Provides evidence to the Audit Manager as appropriate for concluding on the quality of audit opinions produced for clients for drafting the respective Head of Audit opinion which supports the Annual Governance Statement.

Ensure that the Quality Manual remains relevant and is consistently applied. This includes a review of the technical standards and quality of work done by staff and ensuring that corrective action is taken where necessary.

Responsible for maintaining 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.

To actively research and seek out opportunities to advance own training and development in line with career aspirations.

KEY VALUES:

Audit Yorkshire values:

We Value:

By:

<i>Customer Satisfaction</i>		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 Behaviours' 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:

Job Holder [Print name]	Job Holder Signature
Recruiting Manager [Print name]	Recruiting Manager Signature

PERSON SPECIFICATION

Assistant Manager

CRITERIA	ESSENTIAL	DESIRABLE
Education, Qualifications and Training	Educated to degree level or equivalent plus Professional and/or recognised qualification (eg CCAB, MIIA, LCFS) relevant to the role	DMS or equivalent management qualification PRINCE 2
Experience & Knowledge Required	A minimum of 3 years theoretical and practical knowledge and experience in the area with the aptitude to build on that knowledge. Excellent knowledge of methods, techniques and standards relevant to the role. Experience of successfully supervising and/or coaching staff with an aptitude to build on this.	To demonstrate a full understanding of NHS structure, policy, functions and systems together with the aptitude to build on that knowledge. Understanding of project management and improvement practice.
Skills and Attributes	Competent and confident liaison at Senior Management levels. Excellent oral and written communication skills to enable complicated issues to be explained to a range of staff, often at a senior level. This will include presentational, negotiation and influencing skills. Ability to write clear and factual reports. Prioritising and organisational skills Including the ability to prioritise and re-prioritise whilst ensuring delivery Be literate and efficient in the use of a variety of computer systems and software. Evidence of successful delivery of complex projects Must be able to work independently, manage own workload and use own initiative without close supervision Must be able to work to agreed deadlines	Experience of working in NHS or other public sector organisation resulting in a good understanding of systems and processes is desirable for the post. Alternative experience in an equivalent organisation may be acceptable. Highly developed facilitation and presentation skills.

	<p>Must have excellent analytical skills and have the ability to collate complex data from various sources</p> <p>Developing effective working relationships with senior individuals within the Member/Client organisations and with external partners</p>	
Aptitude & Personal Qualities	<p>Focussing on business and customers - Works closely with partners to advise on the performance and development of existing and future services and to identify underlying clients' needs</p> <p>Contributes to wider/corporate service management and development by advising on performance and developing existing and future services</p> <p>Focusing on development- required to create an environment where learning and development are encouraged and valued. Required to actively participate in and promote continuing professional development. Encourages others to stretch themselves and think about long-term career. Provides development opportunities. Develops new approaches to training and willing to experiment with new ideas.</p>	
Values, Drivers & Motivators	<p>Ability to demonstrate our organisational values and behaviours:</p> <ul style="list-style-type: none"> - 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 <p><i>Customer Satisfaction</i> <i>Excellence</i> <i>Independence with Integrity</i></p>	
General	<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- ASSISTANT ANTI CRIME MANAGER- LCFS/LSMS

SPECIFIC DUTIES AND RESPONSIBILITIES

Note: this appendix assumes all elements of the Senior role are also undertaken

Local Counter Fraud Specialist

- To develop, implement and maintain robust counter fraud arrangements within the post holder's nominated clients in line with The Health Act 2012, the NHS Counter Fraud Manual and other relevant legislation.
- To report to and advise the Director of Finance of any areas where compliance with the NHS Counter Fraud Authority standards are not achieved and to discuss and implement action to address this in order to ensure that the Director of Finance can confirm that compliance is met.
- To be accountable at all times to the Director of Finance at the organisation(s) for which you are the nominated LCFS.
- To develop and project manage bespoke and risk based annual Counter Fraud Work Plans detailing work to be delivered in all four generic areas of counter fraud work.
- Identify opportunities to develop counter fraud work plans or areas of work further in order to meet/exceed client expectations. Demonstrate ownership for the effective delivery of the counter fraud work plan and for counter fraud investigations.
- To professionally investigate, within operational guidelines to the highest standards, all allegations of fraud for the client organisation. Ensure that appropriate disciplinary, civil or criminal remedies are applied by the following means:
- Analyse possible avenues and methods of investigation to obtain evidence through various relevant means including interviewing client staff, patients and contractors at all levels in their roles, responsibilities and performance to give an independent and unbiased opinion on complex issues and persuade changes / improvements.
- Establish contact with, interview and take statements from relevant witnesses including expert witnesses, displaying the knowledge and

- application of effective interviewing techniques to deal with hostile, uncooperative or reluctant witnesses.
- Actively assist police and other agencies in arrest and search procedures, providing expert professional advice where required, all in accordance with current legislation. Ensure that the integrity of the evidence is maintained in accordance with NHS Counter Fraud Authority policy.
 - Plan and conduct taped interviews with suspects either at police stations or NHS premises in accordance with the Police and Criminal Evidence Act (1984).
 - Construct prosecution files in accordance with the Crown Prosecution Service national file standards requirements and NHS Counter Fraud Authority toolkit.
 - Maintain investigation files and evidence with due regard to the Criminal Procedures Investigation Act 1996, including management and disclosure of un-used material in accordance with the act.
 - Use in-depth knowledge and experience of the processes and systems across the NHS to determine where relevant evidence can be found.
 - Analyse and understand the financial, accounting, payment and organizational factors within the client relevant to the type and location of the fraud committed. Convert technical information into plain English, suitable for presentation at Magistrates, Crown or Civil Court.
 - Provide advice to HR Directors and other senior management on disciplinary, civil and criminal actions to be considered.
 - Manage and prioritize own caseload, adhering to non-negotiable deadlines imposed by courts and police.
 - Prepare cases for criminal, civil and disciplinary consideration in all cases where evidence of fraud is established.
 - 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.

- Provide continuous support, advice and guidance and manage the expectations of witnesses and victims including NHS staff, patients and healthcare professionals, from the time of initial contact until after the conclusion of an investigation including any court process.
- Lead in negotiations for financial recoveries of NHS funds including
 - a. Giving consideration and assessing requirements to undertake a financial investigation
 - b. Analysis of evidence and intelligence.
 - c. Practical knowledge of legislation covering confiscation, Money Laundering and restraint (both civil and criminal).
- To develop and monitor counter fraud budgets for several clients. Discuss, agree, undertake and oversee any variations to clients plans, other special assignments or investigation work as necessary, requiring proactive negotiation and agreement to changes.
- Identify system weaknesses that have allowed frauds to be perpetrated and keep under review any policies or procedures within the organisation that include reference to fraud related matters. Use expertise gained to comment on and propose strategies to minimize fraud. Such strategies may include the research, redesign and implementation of policies and procedures.
- Occasionally required to manage Internal Audit staff when assisting the LCFS with counter fraud related matters. Ensure that any staff's supporting the LCFS with the delivery of counter fraud work are effectively managed.
- Continually keep abreast of new and changes to existing counter fraud techniques, legislation and NHS Counter Fraud Authority guidance. Acquires and maintains expertise in current best practice counter fraud methodology and develops new skills accordingly.
- Works to achieve agreed objectives and is given freedom to do this within professional guidelines. Acts as lead specialist within counter fraud area.
- To deputise for other LCFS colleagues and managers at other NHS Trusts and meetings as required.

Local Security Management Specialist

- To develop and deliver for each client policies and annual work programmes to ensure compliance with relevant national NHS security requirements and legislation.
- To work closely with frontline managers and staff to ensure all client workplace and patient environments strike an optimal balance with regard to clinical therapy and treatment, safety and security.
- Manage a portfolio of clients within a changing NHS environment and accepting full operational responsibility for the planning and delivery of work plans.
- Undertake or arrange for investigations into incidents of assault or other similar serious untoward investigations and liaise with the Police and Crown Prosecution Service as necessary and to ensure investigations recommend remedial action that will prevent or reduce the likelihood of recurrence and/or severity of harm.
- To provide the Annual Security Report and Annual Work Programme signed by the Security Management Executive Director, and ensure it is delivered effectively and within timescales throughout the year.
- To provide regular reports to each Client Security Management Director on security alerts and incidents, the action taken and any other recommendations to improve safety and the therapeutic environment.
- Act as lead for the prevention and management of violence and aggression to staff to tackle violence against staff and other service users in accordance with national framework and guidance.
- To establish and maintain strong links with each Client and with the Police and other relevant stakeholders to support the planning, implementation and review of actions required to tackle violence and security issues based on the needs of the service provided.
- To ensure each Client risk assessment and management processes includes designated health and safety representatives so safety/security issues and environment audits are an integral part of that process.
- To ensure security risks and incidents are reported allowing investigations to take place where appropriate, risks to be assessed and to allow the development of preventative measures to take place

- To ensure incidents are reported to the National Security Reporting System (SIRS) within the timescales required.
- To actively participate in the post incident review process and attend multi-disciplinary team meetings as appropriate in order to support staff in taking steps to tackle violence and security issues and promote a pro security culture.
- Where appropriate, applying a range of sanctions against those responsible for security incidents/breaches working ensure appropriate cases are progressed accordingly.